



**KARNATAKA LEGISLATURE SECRETARIAT**

**MANUAL  
OF  
OFFICE PROCEDURE**

**PART – I**

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## **PREFACE**

The present Manual is an attempt made by the Official Committee constituted for the purpose to lay down the Office Procedure with regard to the following:

- (i) Receipts, Registration & Distribution of Dak
- (ii) Diarising and Marking of Dak in section
- (iii) Arrangement and Maintenance of files
- (iv) Checks on delays
- (v) Inspections

It is expected that all the Officers and Officials in the Legislature Secretariat will study carefully and familiarise themselves with the Manual and follow scrupulously the procedure laid down therein.

Comments and suggestions to make this Manual more useful are always welcome.

Bangalore

Date: 24<sup>th</sup> July, 1987

K.S. SINGRI GOWDA

Secretary

# KARNATAKA LEGISLATURE SECRETARIAT

## MANUAL OF OFFICE PROCEDURE

### PART - I

#### CHAPTER - I

#### RECEIPTS, REGISTRATION AND DISTRIBUTION OF DAK

1. The following terms are used in the Manual in the sense indicated below:
  - a) **Branch:** A distinct unit of the office having one or more Sections and supervised by an Officer ;
  - b) **Case Worker :** An Official who is entrusted with the work of one or more compilations ;
  - c) **Compilation :** A single definite subjects easily identified by Index Letters ;
  - d) **Section :** A number of case workers attending as far as possible, to work of a similar nature and supervised by a Section Officer ;
  - e) **Section Officer :** The term 'Section Officer' includes Assistant Editor of Debates, Assistant Estate Officer, Deputy Marshal and any other Officer of equivalent rank.
  - f) **Under Secretary :** The term 'Under Secretary' includes Editor of Debates, Estate Officer, Marshal and any other Officer of equivalent rank.

#### RECEIPTS, REGISTRATION AND DISTRIBUTION OF DAK :

2. A receipt may be communication received through normal postal system or by hand or it may be a note or a letter sent by Presiding Officers, Ministers, Members of Legislature or an Officer, required certain action to be taken. The Receipt and Issue Section is mainly concerned with the initial receipt and distribution of dak or tappal in the Legislature Secretariat as indicated in this chapter.

#### RECEIPT AND ISSUE SECTION :

3. The Receipt and Issue Section of the Legislature Secretariat will collect Dak or tappal bags from the post Office twice a day.

The following will be the arrangement with regard to the receipt of communications from outside addressed to the presiding Officers and Officers of Legislature :

a) All Dak addressed to the Officers of Legislature from outside is to be received in the Receipt and Issue Section.

b) Correspondence of any kind addressed to the Presiding Officers / Deputy Presiding Officers / any other Officers of the Legislature Secretariat will be received in the Receipt and Issue Section and passed on to the Personal Establishment of the Presiding Officers / Deputy Presiding Officers / concerned branches of the Legislature Secretariat, as the case may be

c) Envelopes addressed to Officers by name or marked 'Secret' or 'Confidential' will be sent to the addresses direct unopened. Registered post and insured articles and telegrams addressed to Officers by name will be received by them and passed at to the concerned Sections. The Personal Assistance shall maintain a Register of Receipts in such cases.

d) In every case, the receipt should be acknowledged by the recipient by signing his name in full and affixing office seal.

e) Personal Assistants to Presiding Officers / Deputy Presiding Officers / Secretary and other Higher Officers should give acknowledgement for the receipt of the files or papers (other than tappal) sent by the Sections for the orders of the Presiding Officers / Officers concerned with their full signature in ink.

#### **OPENING OF DAK :**

4. All covers should be opened by one of the Receipt Clerks in the R & I Section and stamped with the date of receipt in the presence of the Section Officer incharge of the Section. The Receipt Clerk should verify, as far as practicable, the enclosures and make a note on the "Receipt", if any enclosures are found missing.

#### **NUMBERING AND DISTRIBUTION OF DAK :**

5. Receipts will then be sorted out Section-wise to help in the allocation of receipts, a complete list of subjects dealt with in each section will be supplied to the Receipt Clerk and kept up-to-date. He should consult the Under Secretary incharge of the Section, when in difficulty or in doubt, about the proper allocation of a receipt.

6. Telegrams and other receipts marked 'Immediate' and 'Priority' will be separated from other dak and dealt with first and distributed to the concerned Officers / Officials immediately after their receipt.

7. (a) Envelopes addressed to the Secretary by name and those marked 'Secret' and 'Confidential' will be received in the R & I Section and sent to the Personal Establishment of the Secretary.

(b) Telegrams addressed to the Secretary by name or designation will be received in the personal Establishment of the Secretary.

(c) Envelopes, Registered Posts, Insured Articles etc., addressed to the Secretary by designation will be opened and sent to the concerned Officers / Sections by the R & I Section.

8. The receipts will thereafter be numbered with the aid of automatic numbering machine, or if there is no such machine, machine, by hand. There will be one continuous running serial number for the Legislature Secretariat, as a whole, for each calendar year and the receipts relating to each section for registration on a day will be given continuous numbers, as far as possible. Papers of an ephemeral nature such as, post copies of telephonic messages, tour programmes of Presiding Officers / Committees and printed copies of Indices or Government Orders circulated among Sections are not be numbered.

9. The Secret and Confidential covers received in R & I Section will be machine numbered and transmitted to the Officers / Sections concerned with the least delay after noting in a Delivery Book in Form No. 1. The R & I Section will machine number all the ordinary receipts received by it after sorting them out section-wise and will enter them in the Section-wise delivery books maintained by them in Form No. 2. The R & I Section will fill up columns 1, 3 and 4 of this register, the forms of which would be printed in duplicate, with the printed (original) page being perforated and the duplicate form below it containing only columns 1 to 4. The R & I Section will use carbon paper while filling in the columns mentioned above, the writing being in ink ball-pen. The receipts along with the Register will then be sent to the Section concerned. The Diarist in each Section will receive the dak, check them with the entries in the Register, remove the printed perforated page written in ink and sign acquittance for the receipts in the carbon copy. Even if there are receipts which are wrongly marked they should be received and sent to the concerned sections. The Register will then be returned to the R & I Section for entering further receipts meant for the Section.

10. Files / U.O. Notes passed from one Section / Department to another and notes or letters from Presiding Officers will not be routed through the R & I Section but will be sent direct to the Section / Department concerned. In certain cases where the, W markings are not correct the R & I Section will either indicate the correct section or receive them and send them to the concerned section.

11. The R & I Section will distribute incoming Receipts to the Sections at regular intervals twice or thrice during the day, say at 11.00 A.M., 2.30 P.M. and 4.00 P.M. Telegrams and other receipts marked 'Immediate' or 'priority' will, however, be sent to sections as and when received.

12. The functions and responsibilities of the Section Officer incharge of R & I Section are enumerated vide Appendix - I.



## **CHAPTER - II**

### **DIARISING AND MARKING OF DAK IN SECTION**

13. The Diarist will put up all the fresh receipts received from the R & I Section alongwith any other communications received direct in the Section in 'Dak' tray on the table of the Section Officer who will go through the receipts, select and hand back to the Diarist, those receipts of an ephemeral nature which need not be put up to the Branch Officer after marking them to dealing Assistants or noting instructions for their disposal : select those receipts which do not pertain mark the other 'receipts' to the dealing Assistants (which term will, unless the context otherwise requires, be deemed to include Senior Assistants and Assistants and such of the Junior Assistants who are entrusted with case work) and put up the dak to the Branch Officer in Special Dak Pads.

**Explanation :** 'Branch Officer' means the Officer over the Section Officer (incharge of the Sections) and includes the Under Secretary or any other Officer placed in such charge.

#### **PERSUAL BY UNDER SECRETARY (BRANCH OFFICER)**

14. The Under Secretary (Branch Officer) will :

i) go through the dak sent to him and give directions for disposal, wherever possible ;

ii) mark those receipts, which should be seen by higher officer at the dak stage and indicate the designation of the officer to whom they should be submitted for perusal (Receipts which disclose existing or likely audit objections will be shown to the Secretary in the dak) :

iii) make over the entire dak to the Section Officer. The Section Officer has to satisfy himself that all receipts put up to the Branch Officers for have been returned to him and in case any paper is missing it will be his duty to trace or locate it for which purpose he should have made a note on the number of receipts sent to the Branch Officer. It is also his responsibility to see that all receipts are diarised by the Diarist and that Receipts marked to higher officers for perusal at the dak stage are separated and sent to the concerned Officers after noting the movement in the Diary.

#### **DIARISING AND DISTRIBUTION :**

15. a) Each Section in the Department will maintain a Section Diary Register in Form No. 2 with a separate running serial number for each calendar year to be given in Column 2 "progressive number of the Section Diary." The Section Diary

will be formed out of the original perforated sheets removed from register with which dak is received from the R & I Section and those received direct by the Section from Presiding Officers, Members, Officers and other Sections / Department will be entered in the Section Diary by the Diarist to whom the work has been assigned. All receipts have to be entered in the Section Diary except those receipts which are not required to be diarised (vide para 17). It is the duty of the Diarist to verify that all receipts are returned by the concerned Officers after perusal and that all receipts are distributed after diarising with the least possible delay.

b) The Diarist should also verify whether any reference has been made in the 'Receipt' in question to any previous file number on the subject for which the present receipt should also be added. He will note the correspondence file number at the appropriate place in the Diary.

c) The receipts will then be distributed to dealing Assistants by the Diarist without delay and their acknowledgements obtained. Where ever new files are opened on 'Receipts' (vide Para 29) the file numbers ought to be noted at the appropriate column by the Diarist even as he enters the new receipt in the File Register.

#### **TYPES OF RECEIPTS WHICH SHOULD BE DIARISED :**

16. (1) Subject to the exceptions enumerated in the next paragraph the following types of receipts will be entered in the Section Diarists.

a) all communications received including reminders from outside and acknowledgements of records and documents ;

b) all independent notes received from any Office or any section or Officers on which action is necessary ;

c) extracts of notes retained from files of, or copies of Official and Un-official Memoranda, Circulars, Extracts, etc., received from any Section for action ; and

d) files or notes received from other Sections for comments etc.

ii) A File referred to another department un-officially should be diarised each time when it is received back.

#### **TYPES OF RECEIPTS WHICH SHOULD NOT BE DIARISED :**

17. The following types of receipts should not be diarised :

i) Casual leave applications ;

ii) Copies of miscellaneous Circulars, Office Memoranda, extract, etc., circulated for general information, orders of general application, telephone lists, notices of holidays, tour programmes etc.,

iii) A Section's own files and notes when received back from other sections to which those files and notes had previously been referred to for comments etc., and

iv) any other types of receipts which are by a specific order issued should not be diarised :

#### **PERUSAL OF DAK BY DEPUTY SECRETARY :**

18. The Deputy Secretary, may, in his discretion, submit to higher Officers any receipts which he thinks should be brought to their notice and / of on which he would like to seek their instructions at that stage. He will personally deal with and take action on as many of the receipts submitted to him in dak as may be dealt with without the assistance of the Office.

#### **INTER-SECTIONAL MOVEMENT OF FILES AND UN-OFFICIAL REFERENCES :**

19. Movement of files and papers from one section to another need not be routed through the R & I Section but may be sent direct to the Officers / Sections concerned. All un-official references, either in file or separately will be marked by name or designation to an office - and received by that Officer / Section direct. The UO files / UO Notes etc., marked by name or by designation should be accepted and acknowledged by the personal establishment of the Officer concerned. A file which is referred un-officially to another section / department will on its return, be submitted in dak to the Branch Officer who will ordinarily deal with it himself.

#### **INSTRUCTIONS BY OFFICERS FOR LINE OF ACTION :**

20. The Branch Officer, i.e., the Under Secretary incharge of the Branch, Deputy Secretary or any other higher Officer to whom receipts are submitted in dak should give directions, where-ever necessary, as to the line of action which he would like the office to take. In important cases where he will be expected to deal with a receipt himself, he should ask for the file to be put up to him with relevant papers without any noting. Receipts on which no special instructions are necessary will be merely initialled by him in token of his having seen them.

ii) The Section Officer will see whether any of the receipts are of a difficult nature or present any special features which require his personal

attention. He will deal with such receipts himself or give special instructions to the dealing Assistant as necessary.

**PRIORITY IN THE MOVEMENT OF DAK :**

21. All Officers must accord highest priority to the of dak. Personal Assistants and Stenographers should treat the receipts moving up and down as 'Immediate'. Every Section Officer should keep a careful watch on any hold-up in the movement of receipts. The Diarist will bring to his notice any papers which are not received back from officers within 24 hours.

**NOTE BOOK FOR IMPORTANT RECEIPTS :**

22. The Section Officer will keep note in his personal Note Book or Desk Diary of important receipts requiring prompt action, or in which is required to be completed by a specified date with a view to keeping a watch on progress of action.

**MAINTENANCE AND SCRUTINY OF THE SECTION DIARY :**

23. i) The original form No. 2 received from the R & I Section will be used by the Section as Section Diary, additional Sheets being used for entering communications received in the Section direct. The diarist will fill in columns 2, 5, 6 and 7 in the case of all communications received from R & I Section and all columns excepting column 1, in the case of communication / received direct by the Section. As and when communication is finally disposed of under diary number, the date of disposal will be shown by the Diarist in Column 8 of the Section Diary.

ii) The loose sheets of the Section Diary received from the R & I Section alongwith the additional sheets used for diarising communications received direct by the Section and duly completed by the Diarist will be put together in the proper form and bound together in the form of a register once a month to serve as a permanent Section Diary Register.

iii) The Diarist is responsible for the proper maintenance of the Section Diary Register. The Section Officer will check the Section Diary every week to verify that all receipts have been duly registered and distributed and that the columns of the Section Diary should be signed by the Section Officer in token of having checked it.

## **CHAPTER - III**

### **ARRANGEMENT AND MAINTENANCE OF FILES**

24. (i) Arrangement of papers in a file – all current papers on a case in the sections of Legislature Secretariat shall be arranged in current files. Every file will consist of two parts viz. (a) 'Notes' and (b) 'correspondence' placed in a single jacket. The 'Notes' portion will be tagged on to the left hand side of the jacket and the 'Correspondence' portion to the right hand side of the jacket. Both 'Notes' and 'correspondence' will be filed from bottom upwards, chronologically so that on opening the file, the latest note and communication are on the top left and top right respectively.

ii) The 'Notes' portion of a file shall consist of all notings done by the Officials and Officers concerned and the presiding Officers. All paragraphs in the notings shall be numbered continuously in ink, provided that, if the notings by each Official / Officer consists of more than one paragraph they shall be given sub-numbers. Signature and initials appended by the Officers or Presiding Officers need not be given any para number. The Note recorded by presiding officers will be termed and referred to as 'Minutes'.

iii) The 'Correspondence' portion of a file shall contain all communications received from outside and all communications issued on the file including Demi-Official letters, Letters, Office Memoranda, Memoranda received from others. Every communication, whether receipt or issue, together with its enclosures kept in the 'Correspondence', will be given a serial number in red ink in the centre of the top of its first. The first communication will be marked "Serial No. 13 and the subsequent ones will bear consecutive serial numbers in a single series."

#### **PAGE NUMBERING :**

25. Every page in the 'Notes' portion of the file will be numbered consecutively from top to bottom as in a book. The page numbers will be given on note sheets at the top corner opposite the tag end. Blank intervening pages, if any, should not be numbered, but a line should be drawn diagonally from one corner to another in the blank space. All papers placed on the correspondence portion of the file will be assigned consecutive page numbers in a single series, beginning from the first sheet at the bottom which will bear page number-2. Thus the consecutive page number assigned to a receipt consisting of a number of pages will be different from its original page numbers. Whenever a clean copy of the draft is retained in the 'Correspondence' portion it need not be given any separate serial

number, but may be given appropriate page number(s). Enclosures which have to be returned / forwarded to another authority shall be removed from the file at the time of issue and a slip as indicated below introduced in its place.

Pages ..... to ..... Encl. .... to Sl.  
No. .... or Letter / memo No. .... Dated: ..... from  
..... regarding ..... Removed and forwarded to .....  
on ..... Date: ..... Vide Sl. No. .... (or endorsement  
No. .... Dated: ..... ) date: ..... Signature .....

#### **PUNCHING OF PAPERS :**

26. All papers shall be neatly punched at the left hand top corner to the correct gauge ( $\frac{1}{4}$  of an inch from either side) before it is tagged to the correspondence of notes portion of the file and not pricked through. No pins should be used to join the papers and all pins should be removed.

#### **APPENDIX TO NOTES OR CORRESPONDENCE :**

27. If the inclusion of any detailed information in the 'Notes' is likely to obscure the main points at issue or make the note unnecessarily long, such information or details will be incorporated in a separate and self-contained summary or a statement which will be placed in a separate cover called 'Appendix to Notes'. Similarly, if enclosures to a communication received or issued consist of a large mass of material such papers should be placed in a separate cover called 'Appendix to correspondence'.

#### **PARTS :**

28. When the 'Notes' or 'Correspondence' portion of a file becomes bulky (say exceeds about 100 pages on any side) the file should be stitched and marked 'Volume-I', the 'Notes' portion of the file being separated from the 'Correspondence' portion by means of a separate slip or a half sheet prominently marked 'Correspondence'.

#### **OPENING OF A NEW FILE :**

29. A new file should be opened as soon as a fresh receipt is received by the section, which cannot be dealt with on existing file. The dealing Assistant concerned will, in the first instance, give a suitable 'title' to the file proposed to be opened with the Dealing approval of the Section Officer. In opening a new file the title will be given. After giving suitable 'Title' to the file, the Assistant will get the requisite file number allotted to it in the 'File Register'. He will give the allotted file number on the cover of the file at the appropriate space provided for it. He will also give the name of the Section, Year and the subject matter (title) of the file on

the file cover in the space allotted for the purpose either type – written or written in ink. The fresh receipt will then be placed on the correspondence portion of the file, serial numbered and page numbered. It will then be docketed on the 'Notes' portion of the file. The subject matter in brief as also the file number should invariably be written or typewritten on the top of each note sheet in a file or when separate notes are submitted.

#### **DOCKETING :**

30. (i) Docketing is the process of recording on the Note Sheet of the receipt or issue of a communication into or from the section and shall consist of such relevant particulars as the serial number given to the communication, the number and date of the letter, the name and address of the person, agency or authority from whom it is received or to whom it is issued e.g., Sl. No. 1 (receipt) No. E.230/87-88/LPA, dated: 1<sup>st</sup> March, 1987 from the Secretary, Department of Law and Parliamentary Affairs, Sl. No. 2 (Issue) dated: 10<sup>th</sup> March, 1987 to the Secretary, Department of Law and Parliamentary Affairs. While docketing the necessary particulars should be entered in red ink across the page starting from the Margin.

(ii) Immediately a paper is received which is to form part of the correspondence portion of the file, the paper should be assigned a serial number which should be written at the centre of the top of the page.

(iii) Similarly out-going communications or letters will be given serial numbers.

(iv) Both 'Receipt' and 'Issues' will bear consecutive serial numbers.

31. Notes should be written on note sheets provided for the purpose. If a note sheet is not readily available, a plain paper may be used but the note will be recorded well beyond a clear margin of one inch. Atleast an inch of space should invariably be spread at the bottom of the note sheet and the noting continued on the next page so that enough space is available for passing orders by authorities concerned. In no case, files should be submitted without allowing space as stipulated above.

32. To ensure neatness in the maintenance of files and aiding quick detection of delays Docket Sheets with appropriate columns should be used. The docket sheets are to be placed between the top jacket of the file and the first note sheet. All receipts and movement of file should be noted by means of seals of the sections or of the Officers concerned in the columns provided for the purpose i.e., the first column under the heading "number and date" similarly all routine instructions such as "Please Speak". "Please discuss" etc., should be noted under column 3.

The Practice of giving such instructions on the note sheet or by means of slips of paper pinned to the note sheet should be avoided.

33. When a file is referred to another section, that section should, before it starts nothing, write across the note-sheet, immediately below the last note the name of that section which records the note, e.g.

1984

Section

34. Routine notes exchanged between persons in a section or between Officers of a section, rough work sheet statements, etc., should not form part of the notes or correspondence portion of the file, but may, if required for reference in near future, kept folded below the file jacket of the file board. Similarly, when the enclosures received with a communication consist of bulky material, pamphlets, brochures, statements, etc., such material should not be filed with the correspondence portion, but kept in the file pad below the file jacket with a suitable indication of the particular communication of which it forms and enclosure.

35. Every file shall be given a file number. This file number shall consist of four parts -

- i) Letters indicating the section to which the file pertains e.g.,  
Legislation, Questions, Public Accounts Committee etc.,
- ii) a group of letters indicating the subject head.,
- iii) serial number of the file under the subject head.,
- iv) the last two digists of the calender year.,

Thus IGA PE 87 means the First File initiated in Legislation Section under the head PE (Presidential Election) opened during the year 1987.

36. The object of maintaining the file in the Secretariat is to arrange and allocate the numerous communications received in the Secretariat to a number of small self-contained compartments or jacket meant for different subjects. It follows that the reply to a communication will also be placed on the same file. A fresh receipt will be included in a current file containing earlier related communications or receipts on the same subject.

37. In each sanction a number of subject heads each consisting of a group of distinct letters which will, by themselves give an indication of the subject matter shall be prepared, i.e., the subjects allocated to each section will be broken into smaller units to be identified by a symbol of letters. Subject heads once approved



will continue from year to year and new subject heads may be added, from time to time, with the approval of the Under Secretary concerned in consultation with the Under Secretary in-charge of Establishment – I, who may be nominated for the purpose in order to ensure that the same group of letters are not adopted by different sections.

38. A list of abbreviations (Index letters) for use by different sections in the Legislature Secretariat is indicated in, Appendix – III.

39. A list of subject index letters for different subjects dealt with by each section of Legislature Secretariat to be allotted on the respective files is indicated in Appendix – IV.

#### **SEPARATE FILE FOR EACH DISTINCT SUBJECT :**

40. There should be a separate file for each distinct subject. If the scope of the subject of a file is very general and comprehensive in nature, there will be a tendency to put into the file indiscriminately receipts dealing with different aspects of the matter. This will not only make the file bulky but also militate against speedy and efficient disposal. If the issues raised in a receipt or in the notes or in the orders passed there in extend beyond the original subject, relevant extracts should be taken and dealt with separately on new files.

41. Subject matter pertaining to more than one file heading where a communication received contains matters pertaining to several files, relevant extracts shall be made and placed in the proper files.

42. No file should be opened in respect of receipt on an ephemeral nature, e.g., applications for casual leave, tour programmes of Committees, Presiding Officers, etc., reference to such receipts will be by diary numbers or by their subject. In this connection the instructions (vide Appendix - V) shall be borne in mind.

#### **PART FILE :**

43. (i) use of 'Part Files' should be avoided as far as possible. A part file may be opened only when the main file is not likely to be available for some time or when it is desired to consult Simultaneously other Sections or Officers and it is necessary for them to see the 'paper under disposal' and other connected papers.

(ii) A part file will normally consist of :

- a) the original 'Papers Under Disposal' or its copy and other essential papers on the 'Correspondence' portion ; and

- b) the note or notes recorded or to be recorded on the proposal contained in the 'Paper Under Disposal' or a copy thereof on the 'Notes' portion.

(iii) A part file should be incorporated with the main file as soon as the latter becomes available. The Note portion should be incorporated with the notes at the appropriate place or at the end of the last noting and the correspondence with the correspondence portion. The 'Notes' and 'Correspondence' added to the main file should be suitable renumbered.

(iv) When more than one part file is opened, each one of them should be given a distinct number, thus: IGA 54 BLA (part file) 87, IGA 54 BLA (part file II) 87 etc.

#### **FILE REGISTERS :**

44. A record of file appended during a calendar year will be kept in a File Register in Form No. 3. As soon as a new file is opened the Assistant will inform the official maintaining File Register of the subject matter, the file heading and the diary number of the fresh receipt. The official maintaining File Register will assign the next serial number and will enter the details in the File Register at the appropriate place. The number assigned will be noted only on the file cover.

#### **FILE MOVEMENT :**

45. (i) All movement of file will be entered in the File Movement Register in Form No. 4, at the appropriate place. All files will be routed through the official maintaining File Movement Register who will record each movement of a file in the chronological order, one below the other in the appropriate columns of the Register.

(ii) movement of papers for which on files are opened and which are therefore dealt with under diary number and movement of files and papers of other sections which will go back to the originating section will be noted in column 8 of the section Diary (Form No. 2).

(iii) Files should move directly from the Deputy Secretary upwards without coming back to the sections concerned for noting their movements. Such movements should be noted by the Personal Assistant who maintains the Register in Form No. 5, for movements of files and will send daily an extract of this Register to the concerned section for noting the movement of files in the File Register or Section Diary, as the case may be.

46. Filing of Official, Demi-official and Un-official communications and drafts :

(i) Official and Demi-official communications will be included in the 'Correspondence' portion of the file.

(ii) U.O. Communications, Self-contained U.O. references and replies there to should be included in the correspondence portion of the file.

(iii) The draft for approval put up with a file should be placed above the correspondence and tagged.

(iv) Drafts submitted for orders should form part of the permanent record and be preserved on the correspondence portion. If the signed draft is heavily corrected, clear copy of the final draft as issued may, however, be added to the correspondence portion. In such cases, a serial number should be given only to the draft as finally issued.

#### **REFERENCING AND USE OF SLIPS :**

47. (i) Referencing is the process of putting up and referring to connected records, precedents, rules, regulations, books or any other paper having & bearing on a case. Such papers will be flagged with alphabetical slip to facilitate their identification.

(ii) The slip will be pinned neatly on the inside of the page. When a number of files or papers on the case are to be flagged, the slips should be spread over the whole width of the file so that every slip is easily visible.

(iii) The slip "P.U.D." should be attached to the paper the disposal of which is the subject matter of the file. The latest communications which is to be considered in relation to the subject should be flagged 'Fresh Receipt'.

(iv) (a) No slip other than "PUD" or "FR" or "DFA" will be attached to any paper on a current file. When it is desired to invite a reference to certain papers in the 'correspondence' portion of the file, both the serial number and its corresponding page number should invariably be quoted in the 'Notes' portion (e.g., serial No. 6/p.8 etc.).

(b) Notes will be referred to by their para numbers. Concurrently a reference to the page of the note portion of the file on which the Note is recorded could also be given, if necessary, e.g., para 4 page 1/notes.

(v) Not more than one alphabetical slips should be attached to a recorded file or paper put up for reference.

(vi) It should be remembered that the slips are merely temporary convenience for the quick identification of papers and have to be removed as soon as they have served their purpose. To facilitate the identification of reference after the removal of slips, it is necessary that the number of the file referred to should be quoted in the body of the note and the number of the relevant page together with the latter of the slip attached there to indicated in the margin. Thus:

In the body of note. In the margin of note.

P. No. IGA 54 FPA 87/ Flag G.P.3/Notes.

Similarly, a description of the Rules, Regulations, Acts, etc., together with the number of the relevant paragraphs or clause referred to will always be quoted in the body of the note while in the Margin will be indicated the alphabetical letters of the slips page number.

(vii) Books on Rules etc., to which reference is made in the file be placed on a file, if copied thereof are available with the Officer to whom a case is submitted a brief mention to this effect being made in the margin of the note in pencil. When, however, Books / Rules are required to be put up with files, such publications should be placed on top of the flaps of the file board covering the file and then bound neatly and strongly by means of the string attached to the board in a bow-tie.

#### **LINKING OF FILES :**

48. (i) Linking of files on which action is in progress will, as far as possible, be avoided. As a general rule 'linking' will be resorted to only when the files are inter-connected and orders have to be passed on them simultaneously. If any paper on a current file is required for reference only in connection with the disposal of another current case relevant extract should be taken from the former and placed on the latter.

(ii) When files are linked strings of the file board of the lower file but not its its flaps will be tied round the upper file. The strings of the file board of the upper file will be tied underneath it is a bow out-of the way. Each file will thus be intact with all its papers properly arranged on its file board.

#### **ARRANGEMENT OF PAPERS FOR SUBMISSION OF A CASE :**

49. A case consists of a current file and any other files and papers, books, etc., put up for reference. The papers on a case will be placed in the following order from top downwards :

- (i) 'Notes' ending with the note for consideration ;
- (ii) 'Correspondence' containing the 'PUD and 'FR' if any, and the draft for approval.
- (iii) Standing Guard Files.
- (iv) other papers referred to e.g., extracts from notes or correspondence of other files, resolutions, gazettes, etc., arranged in chronological order, the latest being placed on top.
- (v) Recorded files arranged in chronological order, latest being placed on the top.
- (vi) Routine notes or papers placed in a cover in a chronological order.

50. While submitting the file to Officers it should be placed on a File Board and sent in with its cover closed, book-mark being inserted at the particular page where the latest note or minute has been recorded for submission on perusal or orders of appropriate authority.

#### **PRIORITY MARKINGS ON FILES :**

51. The following kinds of priority markings only should be used in the Sections of Legislature Secretariat ;

- (i) The two prescribed priority markings to be used on files and papers are 'Immediate' and 'Priority'.
- (ii) The lable 'Immediate' should be used only in case of extra-ordinary urgency requiring instant attention and not merely attract the attention of an Officer to a paper which it is desired should not be over-looked.
- (iii) The lable 'Priority' should be used on papers which should be given precedence over others of ordinary nature to which no priority lables have been attached like Legislative Assembly or Legislative Council Questions, Adjournment Motions, Resolutions, Notices under various Rules etc.
- (iv) In addition, the following lables may be used to draw instantaneous attention to files and papers of particular type :

Top Secret`

Secret

Confidential

PUD – Paper Under Disposal

DFA – Draft for Approval

DBN – Draft Board Note

FR – Fresh Receipt

Adjournment Motion

Calling Attention Notice

Privilege

Matter Under Rule 68

Matter Under Rule 334

Matter Under Rule 310

Different colours may be used for different kinds of slips. Priority labels should be used carefully and with discrimination and removed at the proper stage by the Section Officer.

## CHAPTER - IV

### CHECKS ON DELAYS

#### WEEKLY ARREARS STATEMENT :

52. (i) The weekly Arrears Statement is intended to give a statistical picture of the total number of receipts and cases received and dealt with by each Assistant during a week, together with a detailed analysis of the number of receipts and cases left over with each Assistant and the Section as a whole. Incidentally, the weekly Arrears Statement gives an idea of the distribution of work among the Assistants and the load of each individual Assistant. The Statement also enables the Section Officer, the Under Secretary and the Deputy Secretary concerned to keep a watch over the progress of work of each Assistant and to take suitable steps to expedite action on delayed cases and prevent the section from running into large arrears.

(ii) The statement will be prepared on the last working day of every week in Form No. 6. The Diarist shall initiate action by completing the headings in Column No. 4 of the Form with the help of the Section Diary. The Statement will be circulated among the dealing Assistants in the section for completion of Columns 5 to 9 of the Form. The Assistants should indicate the resubmission cases. Figures of arrears to be given in Columns 7 to 9 will be determined by the Assistants by a physical count of receipts pending action with him and with reference to the Assistant's diary. In Column 5 will be given, the difference between Column 7 and the total of Column 3 and 4. Detailed information in respect of receipts or cases in hand of the Assistant for over 5 days will be given in the Columns 1 to 5 of Form No. 7 (which forms an Appendix to Form No. 6). For this purpose the period of pendency of a paper with an Assistant will count from the date of the receipts by him.

(iii) The Diarist will submit the statement to the Section Officer duly completed in all respects on the first working day of the next calender week i.e., on Monday next, or on Tuesday, if Monday happens to be a holiday. The Section Officer will scrutinise the statement, giving his remarks where necessary, in Column 6 of Form No. 7 and submit to the Under Secretary on the same or next day.

(iv) Where the Section Officer marks receipts to himself he will indicate the position in respect of such receipts relevant columns of the Weekly Arrears Statement before it is submitted to the Under Secretary.

(v) The Under Secretary will give his remarks in Column 4 of Form No. 8. Weekly Arrears Statement need not be submitted to the Deputy

Secretary or Secretary of the Department unless he issues specific instructions to the effect that such statements should be put up to him.

**MONTHLY STATEMENT OF CASES PENDING DISPOSAL FOR OVER A MONTH :**

53. (i) As opposed to the disposal of here receipts at the Assistant's level, which is reflected in the weekly arrears statement, the monthly statement of cases pending disposal will, as its name implies deal with cases which are pending disposal for over a month, and as indicated in the file registers of the Sections. It is the tempo of disposal of these cases that given a true picture of efficiency of any Office, as the ultimate purpose for which the Office is established in the final disposal of public business and not merely meticulous carrying on of correspondence or shifting of files. Thus the emphasis here is on the disposal of cases at a whole as opposed to mere receipts :

(ii) The purpose of the monthly statement of cases pending disposal is to bring to the notice of Officers the cases that have been pending in the Sections under charge for over a month, and where and why. The statement will indicate particulars of all live cases pending disposal for over a month. A case will be treated as a live case until it has been 'finally disposed'. The monthly statement will give and opportunity to Officers to review the pending cases and also provided them an occasion to give instructions to the subordinate staff to take special attention, or to obtain specific orders with a view to expedite the disposal of such cases :

(iii) The Statement will be prepared in Form No. 8. The diarist will initiate action by giving the numbers of all Files / Receipts (not taken on files) remaining undisposed of upto the end of the month preceeding that to which the return relates. Receipts like unofficial files belonging to other Departments on which action is usually taken without their being brought on to a file will be included in these lists. The Diarist will prepare these lists by the 3<sup>rd</sup> of every month.

(iv) The Section Officer and the Assistant will scrutinise these lists. They will then proceed to prepare the monthly statement in Form No. 9 a separate form being used for each pending case. Where such forms have already been prepared in the previous months for the pending cases the progress of further action taken on that case will be indicated in the same statement for that case below the last entries. The Asistants will submit the details of their pending cases in Form No. 9 to the Section Officer by 7<sup>th</sup> of every month. The section Officer in turn will submit the consolidated statements by the 10<sup>th</sup> of every month to the Under Secretary with a brief note indicating the following details :



<b>Details</b>	<b>Position as in the last statement</b>	<b>Present position</b>	<b>No. of cases added / disposed of or transferred to Call Book</b>
a) No. of cases pending between 1 and 3 months			
b) No. of cases pending between 3 and 6 months			
c) No. of cases pending between 6 months and one year			
d) No. of cases pending between 1 year and 2 years			
e) No. of cases pending over 2 years			

The Statements relating to disposal of cases, if any, will be removed from among the statements submitted in the previous month crossed in red ink and kept in a routine folder below. The entire set of statements will be arranged in chronological order, the latest being on top and the case with the longest period of pendency being at the bottom. These statements will be placed in a folder of 'Statement of pending Cases' neatly arranged and submitted to the Under Secretary with the note mentioned above duly recorded in a regular file opened for the purpose. The title of the file should be 'Monthly Statement of cases pending disposal for a month-submission on the 10<sup>th</sup> of every month'.

54. In order to reduce the delay in the disposal of business in the Legislature Secretariat, the following steps are suggested :

(i) Secretary should devote one day every month to review and discuss long pending files which are more than 6 months old with the Officers concerned. AS/JS/DS will similarly review cases pending between 3-6 months and U.S. less than 3 months old ;

(ii) Where cases are held up for comments or views with other departments, Secretary should contact his counter part in the other departments or arrange personal discussions with a view to disposal or settlement of points at issue ;

(iii) The Officers at the level of Deputy Secretary and above will arrange to prepare a list of cases pending with them over of month in the Form No. 9 and submit to the Secretary.

A 'NIL' statement in Form No. 7, 8 or 9, as the case may be, shall be submitted when there are no cases pending.

#### **CALL BOOK :**

55. i) Cases which have reached a stage when no steps could be taken by way of expediting action for a long time (e.g., cases held up before law courts, etc) may be excluded from the monthly statement of pending cases and their progress watched through a call Book (Form No. 10) to be maintained by all sections. These cases, should however be shown separately in the break up balance in the monthly statements of pending cases :

ii) The following procedure should be followed for maintaining the call Book :

a) As soon as the Assistant finds that no action whatever can be need be taken on an outstanding case for expediting disposal-not even by issuing a reminder for a period of atleast six months, he will put it up to the Under Secretary through the Section Officer for orders whether the case may be transferred to the 'Call Book' suggesting the date on which action on it should be restarted ;

b) The Under Secretary will examine the case carefully and satisfy himself that the inclusion of the case in the 'Call Book' is justified and passorders accordingly ;

c) When a case has been transferred to a Call Book, no further action will be taken on it till the date of its reopening or till need arises to take actioned on it earlier in consequence of, say, the receipt of a decision of a Law Court, or the receipt of a reply from the party concerned sooner than it was anticipated ;

d) The Section Officer will scrutinise the Call Book during the first week of every month to see that the cases which have become ripe for further action during the month which are brought forward and action initiated on them on due dates. The Call Book will be submitted to the Under Secretary in the second week of every month and the Deputy Secretary once in a quarter, i.e., during the months of January, April, July and October. They will satisfy themselves that no case on which action could have been taken suffers by its inclusion in the Call Book, and where necessary give, their remarks or directions about the action to be taken in any case.

e) When a case placed on the Call Book is omitted from the monthly arrear statement, the total number of cases brought on the Call Book should however be shown separately in the break up of the monthly statement of pending cases ;

f) When a case becomes ripe for action or if action is re-started as a sequel to the receipt of a communication from the party concerned earlier than expected, the date of receipt of communication from outside or the note recorded by the Officer or by the Office note leading to the re-opening of the case will be treated as the date of the commencement of re-opened case and further progress watched in the usual way.

**REGISTER OF PERIODICAL RETURNS :**

56. Each section should maintain a Register of Periodical Returns in form No. 11 showing periodically the return, the authority from whom it is to be received or to whom it has to be sent, and the date of receipt submission. These returns may be weekly, fortnightly, monthly, quarterly.

**CHAPTER - V****INSPECTIONS****INSPECTIONS OF BRANCHES :**

57. The purpose of carrying out the inspections is two-fold viz., (i) to verify whether the procedure prescribed is being observed in practice and (ii) to give suitable guidance to the branch inspected to raise its level of performance and to increase its efficiency. The object of inspection is not merely to find lapses in the working of the Section but also to give practical guidance as to how they should be remedied.

**FREQUENCY OF INSPECTIONS :**

58. (i) The inspection of branch should be carried out by the Section Head of the Branch. Each Section Officer / Section Head should inspect his own section once in three months in the manner specified in Form No. 12. A check list of points to be observed by Section Officers while inspecting the Section is furnished vide Appendix - VII. The Under Secretary should inspect each of the Sections under him once in six months in detail in the manner specified in Form No. 13.

(ii) The Deputy Secretary concerned in the Department should inspect the Sections under him once in a year in the manner specified in Form No. 14 preferably at the beginning of the next Calendar year i.e., during January of the year after the Under Secretary concerned has carried out his inspection for the second half year as illustrated below :

<b>Section Officer</b>			<b>Under Secretary</b>		<b>Dy. Secretary</b>
i)	Quarter ending March	During April	I Half Year ending June	During July II Week	Annual Inspection during II Week of January
ii)	Quarter ending June	During July First Week			
iii)	Quarter ending September	During October	II Half Year ending December	During January I Week	
iv)	Quarter ending December	-			

**NOTE :**

For the IV Quarter the Section Officer need not inspect his section as the Under Secretary shall carry out his inspection for the 2<sup>nd</sup> Half year in January.

iii) In addition to ordinary inspection prescribed in the above sub-paras by Section Officer / Under Secretary and Deputy Secretary, at higher levels, i.e., Joint Secretary / Additional Secretary / Secretary should, occasionally carry out the inspection of the branches with special reference to the question of disposal of cases. The Secretary should conduct surprise checks of a few sections to ensure prompt and efficient disposal of work in the Legislature Secretariat.

**INSPECTION REPORTS :**

59. The Inspecting Officer should submit his report to his immediate Officer. All notes of inspections should be carefully drawn up indicating the defects in the course of inspections and suggestions for the general improvement and standard of work.

The Section Officer should prepare a statement showing action taken on the Last Annual Inspection Report in Form No. 15.

**PERIODICAL MEETINGS OF THE OFFICERS :**

60. Officers meeting should be held every quarter and at these meetings problems concerning the working of the Sections could be discussed. These meetings should be conducted in such a manner that members of the staff also should feel that they have a share in shaping decisions which are aimed at improving the standard of efficiency. In these meetings opportunity should be given to everybody to express his views so long as they are relevant to the question.

**FORM No. : 1****DELIVERY BOOK**

List of receipts received and submitted to the office or distributed in the

..... Section on  
.....

<b>Section to which or Officer to whom receipts are sent</b>	<b>Number of receipts sent</b>	<b>Total Number of receipts sent</b>	<b>Signature of the receiver</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>

**FORM No. 2****SECTION DIARY**

Register of Letters, Files, etc., received in the ..... Section.

Machine Number	Progressive Number	No. & Date of Communication	From whom received	Subject matter in brief	To whom passed	File Number	Disposal with date	Remarks
1	2	3	4	5	6	7	8	9

Date : .....

FORM No. 3

FILE REGISTER.

Standard Heading . . . . .

• . . . . .

File No.	Subject	Date of		Classification (and year of destruction)
		Opening	Closing	
1	2	3	4	5

**N.B.** For 'C' files only : When a 'C' file is actually weeded out the entry in this column should be scored out and the fact of destruction indicated thus "Destroyed".



**FORM No. 4.****FILE MOVEMENT REGISTER**

<b>File No.</b>	<b>Subject</b>	<b>To whom Sent.</b>	<b>Date</b>	<b>To whom sent.</b>	<b>Date</b>	<b>To whom sent.</b>	<b>Date</b>	<b>To whom sent.</b>	<b>Date</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>

**FORM No. 5.****Movement Register to be maintained by Personal Assistants of Deputy Secretaries and Higher Officers**

<b>Sl. No.</b>	<b>File or Diary No.</b>	<b>To whom passed</b>	<b>Remarks</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>

**FORM No. 6.****WEEKLY ARREAR STATEMENT****Name of Section :****Week ending :**

Sl. No.	Name of the Assistant	P.F. from Previous week	Received during the week	Number of Receipts / Cases				Initials of the Assistant
				Total	Dealt with during the week	Balance on hand	5 days and under	Over 5 days
1	2	3	4	5	6	7	8	9
								10

Details of "over 5 days" receipts / cases should be entered in the appendix to this form (Form No. 7)

**Note:** Receipts / cases returned to the Assistants for re-examination should also be included.

-----  
Signature of Section Officer

**FORM No. 7.****APPENDIX TO WEEKLY ARREAR STATEMENT**

**Details of Receipts / Cases in hand for more than five days (vide column 9 of the Weekly Arrear Statement).**

<b>Sl. No.</b>	<b>Dairy / File No.</b>	<b>Date from which pending</b>	<b>Brief Subject</b>	<b>Reason for delay</b>	<b>Remarks of Section Officer / Branch Officer</b>	<b>Action taken on remarked of S.O. / B.O.</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>

**NAME OF THE ASSISTANT**

**FORM No. 8.****MONTHLY STATEMENT OF CASES PENDING DISPOSAL FOR OVER A MONTH**

..... Section.

.....  
**File / Dairry No. .... Date of commencement of receipt****Subject :**

<b>Date</b>	<b>With whom and since when</b>	<b>Reasons for delay</b>	<b>Remarks of Branch or Higher Officers.</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>

Here will be entered the last date of the month for which the list is prepared.

**FORM No. 9.****MONTHLY ARREAR STATEMENT OF CASES PENDING DISPOSAL OVER A MONTH**

Office of the .....

Sl. No.	File Number	Date of receipt of file	Subject	Reasons for pendency, if any
1	2	3	4	5

**Total**

Periodwise pendency

i) Over one month but below 3 months

ii) More than three months

**FORM No. 10.****CALL BOOK**

<b>Sl. No.</b>	<b>File Number</b>	<b>Date of commencement of file</b>	<b>Subject</b>	<b>Reason why no further action can be taken for over 6 months</b>	<b>Date on which action is to be restarted</b>	<b>Directions of high officer at the time of review</b>	<b>Date of restarting action</b>	<b>remarks</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>

## FORM No. 11.

## REGISTER OF PERIODICAL RETURNS AND REPORTS

Department of ..... Year ..... Section .....						
Sl. No.	Description	Authority from whom due to whom sent	File No. containing authority and procedure	Current file	Month and date due to be sent	Remarks (reminders issued, date finally received, sent).
1	2	3	4	5	6	7



**FORM No. 12****QUARTERLY INSPECTION BY THE SECTION OFFICER**

Branch / Section : .....

Date of Inspection : .....

Date of Last Inspection : .....

Name of the Section Officer : .....

Date of Posting to Section : .....

Reason for the vacancy, if any :

1. Number of Assistants :

Senior Assistants :

Assistants :

Junior Asistants :

2. Attendance Register :

a) Is it properly maintained

b) Action taken against late  
attenders. if any in the previous  
quarter

3. Section Diary :

1) Neat and tidy ?

2) Are columns utilised properly?

3) Subjects given briefly and clearly

4) File No. given against each  
entry?5) Is date of disposal given against  
each entry ?6) Is nature of disposal indicated  
correctly ? (to be test-checked)7) Are receipts made over to  
Assistants on the same day ? (to  
be test-checked)

- 8) Is diary test-checked ; by the Under Secretary every month?  
(Initials of the Officer in token of check to be test-checked)
- 9) Are receipt which are not to be diarised being diarised ? (to be test-checked)
- 10) No. of receipts received in the Section during each of the preceding three calendar months.

4. Assistant's Diary :

- 1) Are all dealing hands maintaining the Assistant's Diary ?
- 2) In proper form ?
- 3) Neat and Tidy ?
- 4) Are particulars given in all columns of the Diary ?

5. File Register :

- 1) Maintained neatly ?
- 2) Are files opened under appropriate subject symbols ? (to be test-checked)
- 3) Are files precise and expressive of subject matter dealt within the file ? (to be test-checked)
- 4) Are Record Classification and date of destruction indicated in the appropriate columns clearly and correctly ? (to be test-checked)
- 5) Are date of opening and closing of files given correctly : (to be test-checked)

6. File Movement Register :

- 1) Maintained neatly
- 2) Are movements of files marked correctly and in time (to be checked)
- 3) Are part files amalge - mated with main files at the earliest opportunity and necessary entries made in the Register (to be test-checked)
- 4) Is tracing of files easy to be test checked and results should be recorded in the following form

Sl. No.	File No.	To whom marked in file movement Register	Whether actually traced from the place marked	Remarks
1.				
2.				
3.				
4.				
5.				

7. Weekly Arrears Statement (Go : through the last weekly arrears statement)

- 1) Is it maintained in the appropriate form and submitted regularly ?
- 2) Are reasons for delay given in the case of over 5 days receipt / cases.

- 3) Are directions given by S.O. / U.S. for quick disposal of delayed receipts.
- 4) Are these directions being followed (to be test-checked)
- 5) Was the number of receipts / cases in hand with any Assistant unduly heavy last week-end ?
- 6) Any suggestions by Inspecting Officer to improve the State of Affairs ?

8. Monthly statement of pending cases :

- 1) Are the statement brought up-to-date and submitted regularly ?
- 2) Was the last statement submitted in time ?
- 3) Are they submitted to
  - a) Deputy Secretary
  - b) Joint Secretary
  - c) Additional Secretary
  - d) Secretary
- 4) Are directions given by Officers for ex-pediting delayed cases and whether action is taken thereon ? (to be test-checked)
- 5) Are these statement discussed at the periodical meetings of Officers.
- 6) What is the position regarding pending cases at the end of the preceding month ? Please give details below

	<b>At the time of last inspection</b>	<b>At the time of last quarterly inspection</b>	<b>Present position</b>
--	---	---	-----------------------------

1. No. of cases pending disposal  
between 1 & 3 months

2. -do- 3 & 5 months

3. -do- 6 & 12 -do-

4. -do- 1 year & 2 years

5. -do- Over 2 years

Total :

9. Register of Report / Returns (Go :  
through the Register of Reports and  
Returns)

1) Maintained neat & tidy

2) Is it up-to-date

3) Any instance of Reports /  
Returns no sent / received in  
time. (to be test-checked)

4) What steps are taken to render  
reports / returns in time

5) Any suggestion to improve state  
of affairs, if not found  
satisfactory.

10. Recording and indexing (Go through :  
the list of records files in the section)

1) What is the present position  
regarding and indexing please  
obtain the following details

i) Number of files recorded &  
indexed during the last  
12 months.

- ii) Number of such files sent to Records Section.
  - iii) Number of closed files pending final recording and indexing.
- 2) Is the Section in arrear in regard to recording in regard to recording and indexing
  - 3) Is the position satisfactory.
  - 4) Are all files indexed before stitching where indexing is necessary.
  - 5) Are index slips kept properly arranged.
  - 6) Get three recently recorded files and verify whether :
    - i) Papers are properly and neatly arranged.
    - ii) References are properly given.
    - iii) Pages are numbered properly.
    - iv) Properly and safely stitched.
    - v) Unnecessary papers are weeded out.
    - vi) Previous and later references given on the cover.
    - vii) Classification for record is given with due care and in keeping with the importance of the cases ?
    - viii) Whether closure certificate is recorded on the cover ?

- ix) The year of destruction is indicated on the cover clearly ?
- x) The indexed certificate has been given on the cover.
- xi) Are index slips prepared properly ?

11. Weeding out of unwanted Records / :  
Papers

- 1) Are the monthly filing folders weeded out in time and destroyed ? (to be test-checked)
- 2) Does the section give the appearance of being crowded with unwanted papers ? (to conduct a physical check of the room)
- 3) Are unwanted papers / publications / books properly weeded out once annually ? When was the last weeding conducted ? Is there any backlog ?
- 4) Any suggestion about "scattering" or "dumping" of recorded / papers / books, if any, in the Section ?

12. Section Diary / Note book :

- 1) Maintained neat and tidy ?
- 2) Maintained in Alphabetical Order ?
- 3) Is it up-to-date ? (Pages to be turned over the spot any recent entries. Also think of any important decision recently

taken and verify if they are included)

- 4) Are decisions entered
  - a) Precise ?
  - b) Clear ?
  - c) Under appropriate heads to be test-checked ?
- 5) How does the under Secretary mark decisions for inclusion in the Section Note Book ?

13. Guard File :

- 1) How many already exist (List to be attached) ?
- 2) How many are under preparation or yet to be prepared? (Attach a list of approved type subjects)
- 3) Are they well prepared and maintained (to be test-checked).

14. Reference Books, Rules and Regulations :

- 1) Is the Section furnished with all Rules, Regulations and books required for its proper functioning ;
- 2) Are there any deficiencies ? If so, state what are they ?
- 3) Is a list of books / publications maintained
- 4) Are the Rules, Regulations, etc., maintained duly corrected up-to-date. (to be test-checked)



- 5) Are they maintained centrally in one place by the Section Officer or scattered over the tables of each Assistant.

15. Call Book :

- 1) Is there a Call Book in the Section ?
- 2) Are there any, cases kept in the Call Book in right type ?
- 3) Are there any, cases kept in the Call Book which should not appropriately be in it ?

16. Inspection of Table of Assistants : :

- 1) Is it done by the Section Officer ?
- 2) If so, at what interval ?
- 3) Any papers / files on tables of Assistants not accounted for in the :
  - i) File Register ?
  - ii) Last weekly arrears statement
  - iii) Last monthly statement of pending cases ?

17. Rotation of work :

- 1) Are dealing Assistants rotated to difference items of work or employed on the same work year after year ?
- 2) Any dealing person doing the same work for more than 3 years ?

3) If so,

a) Give reasons

b) Remarks of inspecting Officer.

18. Level Jumping :

1) Are there any Assistants submitting their files direct to Under Secretary ? If so, is the arrangement working satisfactorily.

2) Can direct submission be extended to other items of work ?

19. Disposal by Conduct of Section :  
Officer :

1) Types of receipts / cases if any, dealt with by S.O. himself ?

2) Nature of receipts / cases warranting initial action by S.O.

3) Other items of work, if any, which can be more usefully dealt with by S.O. himself instead of by dealing Assistants ?

4) Classes of cases disposed by S.O. himself ?

5) What steps are taken by S.O. to train and build up initiative and confidence in the Assistance working in the Section ?

6) Any suggestions for further delegation or powers to S.O.

20. Suggestions, if any, for :  
implementation

21 General Assessment :

Date :

Signature of Inspecting Officer

**FORM No. 13****HALF YEARLY INSPECTION BY THE UNDER SECRETARY**

1. Date of Inspection :
2. Name of the Section :
3. Name of the Section Officer :
4. How many posts are vacant ? Since when are they vacant ? (Please indicate the position category-wise)
5. Whether the Section Officer has inspected section, if so, dates of quarterly inspections by the Section Officer.
6. Have all the defects noticed therein are rectified ?
7. Whether the following are maintained properly
  - a) Work distribution chart
  - b) Section Diary
  - c) Weekly Arrear Statement
  - d) Call Book
  - e) Section Note Book
  - f) Standing Guard File
8. Are reminders issued periodically :
9. No. of cases reviewed during the previous quarter but finally disposed of during the subsequent quarter.
10. Whether such a review report for the previous quarter has been submitted to the Deputy Secretary.

11. No. of receipts pending in the section :  
for more than 5 years
12. Reasons for the pendency and :  
solutions offered
13. Are unnecessary papers being :  
weeded out periodically and closed  
files sent to the Records ?
14. Whether C & R Rules are framed ? If :  
not, what is the stage ?
15. Does the Section Officer guide the :  
staff in putting up cases ?
16. Does the Section Officer encourage :  
the Assistants in voicing their views  
independently on cases, thereby  
giving an impetus to develop  
initiative.
17. General observations for :  
improvement of the working of the  
Section. (Not covered in any of the  
questions mentioned above)

Date:

Name and Designation of the  
Inspecting Officer

**FORM No. 14****ANNUAL INSPECTION BY THE DEPUTY SECRETARY**

1. Name of the Section :
2. Date of Inspection :
3. Date of inspection by the Under Secretary :
4. Whether the defects pointed out by the Under Secretary in his inspection report are rectified :
5. Are the prescribed registers maintained properly :
6. Are D.O. Letters replied promptly ? :
7. Are the cases reviewed by the Under Secretary :
8. No. of cases yet to be reviewed :  
(Sample survey should be made)
9. Is timely action taken to obtain the replies in special cases like references made for remarks / concurrence of Finance Department, Dept. of Law and Parliamentary Affairs and other Departments. :
10. What is the percentage of disposal of cases for the last 3 months. Reasons for the low percentage, if any :
11. What is the number of receipts pending in the section for more than 5 days ?

12. The reason for the pendency and :  
solution offered
13. Whether C & R Rules are framed. If :  
not, what is the stage ?
14. Whether the staff meeting are held :  
regularly to sort out the  
departmental problem
15. General observations for :  
improvement of the working of the  
Section. (Not covered in any of the  
questions mentioned above)

Date:

Name and Designation of the  
Inspecting Officer

**FORM No. 15**  
**STATEMENT SHOWING ACTION TAKEN ON THE LAST**  
**ANNUAL INSPECTION REPORT**

<b>Defects pointed out of suggestions made in the previous report</b>	<b>Action already taken of proposed</b>
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
6.	6.
7.	7.
8.	8.
9.	9.
10.	10.

Date :

Signature of the Section Officer

..... Section



**APPENDIX - I****THE FUNCTIONS AND RESPONSIBILITIES OF  
SECTION OFFICER INCHARGE OF R & I SECTION**

1. Receipt, Registration and distribution of tappal to all the Sections ;
2. Control and supervision of the Receipts and Issue Section including Typing Pool ;
3. Sorting out Demi-official and Confidential letters and delivering them to the appropriate Officers ;
4. Putting up important communications to the Under Secretary incharge of the Section at their tappal stage itself so that he can put them up to the Secretary and other Officers ;
5. Ensuring that telegrams and other important references involving urgency and time limits are brought to the notice of the concerned Officers immediately after their receipt ;
6. Dispatching of fair copies and return to concerned Sections after affixing 'issue seal'.
7. Consolidation of monthly arrears statements.
8. To maintain up-to-date stamp Accounts.

## APPENDIX – II

### CONSTITUENT OF AN INDEX SLIP

(i) An Index Slip is composed of two parts, namely (a) Title and (b) File Number and date of order, circular, etc.,

(ii) **Title of File** : The subject given to a file is called its 'Title'. It should be as brief as possible but should give at a glance sufficient indication of the contents of the title so as to serve as an aid to its identification. The 'Title' should be divided into (a) 'Head' (b) 'Sub-Head' or 'Sub-Heads' and (c) 'Content' in the following manner:

(a) **Head** : The important word that is placed first in the title, by which its alphabetical position in the index is determined and on which primarily depends the possibility of finding the title in the index, is called the 'Head'. The 'Head' must be a word or words that will naturally occur to anyone who wants the paper. It must not be too wide.

(b) **Sub-Head** : The 'Head' will be followed by a 'Sub-Head' or 'Sub-Heads' which should be more indicative of the precise subject, of the file than the 'Head'. In selecting 'Sub-Heads' the consideration to be borne in mind will be the same as in selecting the 'head' viz., that the word or words selected should be such as are likely to strike anyone in need of the papers contained in the file. Where it is necessary to have more than one sub-head in a title, the wider and more abstract should generally come before the narrower and more concrete ;

(c) **Contents** : After the 'head' and 'sub-head' will come the 'Content'. This must be as brief as compatible with expressing clearly the exact subject of the file. If a context shows at a glance, like a newspaper head-line, the exact subject of the paper, it is good content. A content worded in general terms is of title practical use, for, if it does not distinguish a file from others relating to closely similar but not identical subjects, time may be wasted in taking out and examining several files before what is wanted is found.

(iii) **File Number of date** : The 'title on an index slip will be followed by a reference to file number and date. The procedure for allotting a number to a new file has been outlined in paragraph 44 (Chapter-I).

(iv) **Standard 'Heads' and 'Sub-Heads'** : Consistency is essential in the selection of both heads and sub-heads. For example, files dealing with questions of pay should be indexed always under the head 'Pay' and not some times under pay and some times under 'Salary or Emoluments'. this can be secured by

maintaining a list of standard heads and sub-heads for recurring subjects and then adhering to it.

(v) **Wording and Articulation** : The whole title 'Head' 'Sub-Head' and 'Content' should consist mainly of substantives, adjectives, where necessary and participants. Minor parts of speech should be excluded as far as possible to make a strict alphabetical arrangement practicable. The title should be articulated or broken up into members each consisting of as few words as possible, and each expressing an element in the subject matter. Each will begin with a capital letter and separated from the preceding one by a bold dash.

#### **Examples of Titles :**

A few examples of 'title' are given below :

Subject dealt with	Title prepared
1	2
1. Question whether it is necessary under the PSC (Consultation) Regulations to consult the PSC., in proposals regarding extension of service of Officers holding tenure posts.	PSC (CONSULTATION) <u>Regulation Tenure posts :</u> Extension of service in consultation necessary.
2. Question whether merit should be regarded as the sole criterion in making promotions and confirmation in selection posts.	SELECTION POSTS <u>Promotions</u> <u>and</u> <u>Confirmations</u> Merit sole criterion
3. Enquiry whether it is necessary to communicate adverse remarks in the confidential reports to persons concerned in certain circumstances.	CONFIDENTIAL REPORTS <u>Adverse Remarks</u> Circumstances in which communication necessary.

In each of the above 'titles' the words in block letters are 'Heads' those underlined are 'sub-Heads' and the rest of the 'Title' is content.

**APPENDIX – III****LIST OF ABBREVIATIONS (INDEX LETTERS) FOR USE BY DIFFERENT  
SECTIONS IN LEGISLATURE SECRETARIAT**

<b><u>Name of Section</u></b>	<b><u>Abbreviations</u> <u>(Index Letters)</u></b>
Legislation, Legislative Assembly	... LGA
Legislative Council Section	... LGQ
Questions, Legislative Assembly	... LAQ
Establishment-I	... ADM-I
Establishment-II	... ADM-II
Library	... LIB
Reference and Research	... RR
Accounts-I Section	... ACT-I
Accounts-II Section	... ACT-II
Accounts-III Section	... ACT-III
Executive Section	... EXE
Committee on Public Undertakings	... CPU
Public Accouts Committee	... PAC
Estimates Committee	... EC
Committee on Welfare of Scheduled Castes / Schedules Tribes	... SC / ST
Committee on Welfare or Backward Classes	... BCC
Translation Section	... TRS
Receipts and Issue Section	... RIS
Reporting Section	... RPS
Editing Section	... EDS
Legislators' Home	... LH
Watch and Ward Section	... WWS

# APPENDIX – IV

**List of Subject Index letters for different subjects dealt with by each Section of Legislature Secretariat to be allotted on respective files :**

## LEGISLATION SECTION

<u>Subject</u>		<u>Subject Index Letters on Files</u>
Adjournment Motion	...	ANA
Privilege	...	PLA
Petitions	...	PNA
Matters Under Rule 68	...	MR 68
Bills	...	BLA
Election of Speaker	...	ELS
Election of Deputy Speaker	...	ELDS
Presidential Election	...	PE
Presiding Officers Conference	...	POCA
Visit of Committees from other States	...	VCSA
Visit of V.I.P.s	...	VIPA
Joint Select Committee (Land Revenue)	...	JSCLR
Select Committee	...	SCA
Who's who of Members of Legislative Assembly	...	WMA
Handbook for Members of Legislature	...	HBM
List of Members	...	LMA
Resume of Business of Legislative Assembly	...	RBA
Business Advisory Committee	...	BACA

<b><u>Subject</u></b>		<b><u>Subject Index</u></b> <b><u>Letters on Files</u></b>
Privileges Committee	...	PLCA
Subordinate Legislation Committee	...	SLC
Regional Imbalances Committee	...	RIC
Election to Committees of Legislature	...	ELCA
Election to Sonates of Universities	...	ELSA
Election to other Autonomous Bodies	...	ELBA
Rules of Procedure, Legislative Assembly	...	RPA
Petitions Committee	...	PNCA
Party Position	...	PPA
Vacancies Position (Monthly Return of Vacancies	...	VPA
<b>Nominations to :</b>		
a) Telephone Advisory Committee	...	NTAC
b) Telecommunications Advisory Committee	...	NTCC
c) Railway Users Committee	...	NRUC
d) South Central Railway Committee	...	NSCRC
e) Southern Region Railway Committee	...	NSRRC
<b>L.A. QUESTION BRANCH</b>		
L.A. Starred & Unstarred Questions	...	SQA/USQA
Short Notice Questions, L.A.	...	SNQA
Calling Attention Notices, L.A.	...	CANA
Matter Under Rule 334	...	MR 334

<b><u>Subject</u></b>		<b><u>Subject Index</u></b> <b><u>Letters on Files</u></b>
Half-an-Hour Discussion, L.A.	...	HHDA
Assurances Committee, L.A.	...	ACA
Committee on Private Member's Bills & Resolutions, of L.A.	...	BRCA
Joint Select Committee on Rent Control Bill	...	JSCRC

### **LEGISLATIVE COUNCIL BRANCH**

Adjournment Motion	...	AMC
Privilege	...	PLC
Petitions	...	PNC
Matter Under Rule 68	...	MR 64
Bills	...	BLC
Election of Chairman	...	ELC
Election of Deputy Chairman	...	ELDC
Presiding Officers Conference	...	POCC
Visit of Committees from other States	...	VCSC
Visit of V.I.P.s	...	VIPC
Select Committee	...	SCC
Who's who of Members of Legislative Council	...	WMC
List of Members	...	LMC
Resume of Business of Legislative Council	...	RBC
Business Advisory Committee	...	BACC
Privileges Committee	...	PLCC

<b><u>Subject</u></b>		<b><u>Subject Index</u></b> <b><u>Letters on Files</u></b>
Election to Committees of Legislature	...	ELCC
Committee on Papers Laid	...	CPL
Election to Sonates of Universities	...	ELSC
Election to other Autonomous Bodies	...	ELBC
Rules of Procedure, Legislative Council	...	RPC
Petitions Committee	...	PNCC
L.C. Starred & Unstarred Questions	...	SQC/USQC
Short Notice Questions, L.C.	...	SNQC
Calling Attention Notices, L.C.	...	CANC
Matter Under Rule 310	...	MR 310
Half-an-Hour Discussion, L.C.	...	HHDC
Assurances Committee, L.C.	...	ACC
Committee on Private Members Bills & Resolutions, of L.C.	...	BRCC
Party Position	...	PPC
Vacancies Position (Monthly Return of Vacancies)	...	VPC
<b>Nominations to :</b>		
a) Telephone Advisory Committee	...	NTAG
b) Telecommunications Advisory Committee	...	NTCC
c) Railway Users Committee	...	NRUC
d) South Central Railway Committee	...	NSCRC
e) Southern Region Railway Committee	...	NSRC



**Subject****Subject Index  
Letters on Files****ADMINISTRATION - I SECTION**

Matter relating to convening of Board and Special Board Meetings	...	BM
Creation of Posts	...	CP
Filling up of the posts by direct recruitment	...	FPD
Filing up of the posts by deputation	...	FDP
Departmental Examinations	...	DEK
Filing up of the posts by Promotion	...	FPP
Departmental Enquiries	...	DE
Writ Petitions	...	WP
Confidential Reports	...	CR
Seniority List	...	SL
Assets and Liabilities	...	AL
C & R Rules	...	CRR
Declaration of Probationary periods	...	DPP
Civil List	...	CIL
Miscellaneous	...	MISC
Sanction of Air Journeys	...	SAJ
Pension Cases	...	PC
Deputation of Legislators to Seminars / Conferences etc.,	...	DLS
Revision of Scales of Pay	...	RSP

**Subject****Subject Index**  
**Letters on Files****ADMINISTRATION – II SECTION**

Sanction of Leave	...	SL
Saction of Home Travel Concession	...	HTC
Sanction of Leave Travel Concession	...	LTC
House Building Advance / House purchase Advance	...	HBA
Festival Advance	...	FA
Fixation of Pay	...	FP
Annual Increment	...	INC
Payment of Honorarium	...	PH
General Provident Fund	...	GPF
Motor Cycle Advance / Motor Car Advance	...	MCA
Bicycle Advance	...	BA
Miscellaneous	...	MISC
Filling up of posts by contract appointments in the Establishlhmnt of Parliamentary Functionaries	...	FCA
Training Facilities	...	TRG

**ESTIMATES COMMITTEE**

Meeting Notice	...	MN
Report	...	RP
Correspondences	...	CR
Study Tour	...	ST

**SC / ST COMMITTEE**

Meeting Notice	...	MN
Report	...	RP
Correspondences	...	CR
Study Tours	...	ST

**BACKWARD CLASSES COMMITTEE**

Meeting Notice	...	MN
Report	...	RP
Correspondences	...	CR
Study Tours	...	ST

**PUBLIC ACCOUNTS COMMITTEE**

Meeting Notice	...	MN
Report	...	RP
Correspondences	...	CR
Study Tour	...	ST

**LIBRARY**

Purchase of Books	...	PBK
Issue of Books	...	IBK
Subscription to Periodicals	...	SPL
Subscription to Newspapers	...	SNP
Physical Stock verification	...	PSV

**RESEARCH**

Documentation on Public Undertakings	...	DPU
Lekhana Soochi	...	LS
News Journal	...	NJ

**ACCOUNTS - I**

Salary to Members (MLA's)	...	SMA
Salary to Members (MLC's)	...	SMC
T.A. / D.A. to MLA's	...	TAMA
T.A. / D.A. to MLC's	...	TAMC

**FACILITIES TO MEMBERS**

Railway Coupons	...	RC
Bus pass	...	BP
Medical Reimbursement	...	MR
Sanction of Advances for vehicles	...	MCA
Printing of Letter Pads	...	PLP
Allotment of Vehicles	...	AV
Gas Connections	...	GC
NSCs to Members	...	NSC
Installation of Telephones	...	IT

**ACCOUNTS - II****SALARY OF OFFICERS / OFFICIALS :**

Group - A	...	SLA
Group - B	...	SLB

Group – C	...	SLC
Group – D	...	SLD

**T.A. / D.A. TO OFFICERS / OFFICIALS :**

Group – A	...	TAA
Group – B	...	TAB
Group – C	...	TAC
Group – D	...	TAD
Medical Reimbursement to Officers / Officials	...	MRE
Preparation of Budget	...	BUD

**ACCOUNTS – III**

Pension to Ex-MLA's	...	PMA
Pension to Ex-MLC's	...	PMC
Pension to Ex-MRA's / MCA's etc.,	...	PPA / PCA

**EXECUTIVE**

Purchase of Furniture	...	PFR
Purchase and Supply of Stationery	...	PSS
Allotment of Rooms	...	ALR
Physical Stock verification	...	PSV

**TRANSLATION**

No File Work	...	-
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**EDITING BRANCH**

Printing of Debates of LA	...	PDA
Printing of Debates of LC	...	PDC

Printing of Index to Debates of LA	...	PLA
Printing of Index to Debates of LC	...	PIC

### **LEGISLATOR'S HOME**

Administrative Matters – Index letters as indicated for Administration I & II as far as applicable :

#### **OTHER MATTERS :**

Stores	...	OT
Canteen	...	CN
Allotment of Rooms	...	AR
Miscellaneous	...	MISC

### **HOUSE COMMITTEE**

Meeting Notice	...	HCMN
Report	...	HCRP
Correspondences	...	HCCR
Study Tours	...	HCST

### **RECOVERY OF DUES**

Lodging Charges	...	RDL
Car Hire Charges	...	RDC
Trunk Call Charges	...	RDT

**APPENDIX - V****NO. NEW FILE WILL BE OPENED ON RECEIPTS OF AN EPHEMERAL NATURE**

A receipt calling for some information of a general nature or furnishing some routine information of a general character need not be added to or dealt with in the existing file on the subject, if any, when the addition of the receipt will not contribute materially to the disposal of the case dealt with on the file as a whole, or is not likely to be required for purposes of reference in the file at a later date. Such receipts will, if necessary, be replied to conveniently with the material available with the section on diary numbers and after such disposal, filed in monthly filing folders. Section will maintain separate filing folders for each month. These monthly filing folders will be reviewed after every year and all unwanted papers destroyed.

**APPENDIX - VI****THE REGISTER OF PERIODICAL RETURNS**

1. The Register is a bound volume.
2. It need not be renewed every year, the entries being fow.
3. This is one consolidated register for the whole Section.
4. Under column 5 file number can be given only after report is received and entered in the File Register.
5. Column 6 should be filled up with reference to orders prescribing the dates of submission of the report.
6. If a report is received, the fact should be noted in column 7.
7. If a report is over due, the clerk who keeps the registers should note the fact on a Routine Note form and submit it to the Section Officer for permission to issue a reninder.
8. A reminder may than be sent to the defaulting Officer and the fact noted in column 7.
9. The entries under the columns should be made by the respective Junior Assistant under the guidance of Section Officers.
10. But column 1 should contain consecutive numbers for the whole section.



**APPENDIX - VII****CHECK LIST FOR SECTION OFFICERS FOR INSPECTION OF SECTION**

1. Is the Section neat and tidy ?
2. Do the Officials attend office in time and maintain proper discipline ?
3. Is the attendance checked at the prescribed time everyday ?
4. Are movements of Officials outside the section and admission of visitors to the section controlled properly ?
5. Are home addresses of the Officials kept in the Section ?
6. Have all the tappals received in the section been accounted for every day ? Are receipts which should not be diarised, entered in the Diary ?
7. Have important receipts noted in his personal Note Book or Desk Diary ?
8. Has work in section evenly distributed among the Senior Assistants and Assistants allotting definite subject to be dealt by each of them ?
9. Are 'Priority' marking made on receipts and files whenever necessary ?
10. Are all files opened under appropriate File Headings ?
11. Are titles in the files and file registers given correctly ?
12. Are instructions of the Higher Officers on receipts brought out in the Note Sheet ?
13. Are files submitted to the Higher Officers in a proper and complete form ?
14. Are all approved drafts issued properly and promptly ?
15. Are U.O. files sent directly to the Section concerned ?
16. Are all communications correctly marked ?
17. Are weekly and monthly arrears list put up regularly and in time ?
18. Are Call Book and Section Note Book, etc., scrutinised every month ?
19. Are File Registers, Movement Registers, etc., maintained properly ?

20. Are Standing Guard Files maintained for each of the subjects dealt in Section and Whether they are up-to-date ?
21. Are the Assistants 'Diaries and Tables' checked periodically for pending papers and files ?
22. Are observations made by Higher Officers in inspection reports of the Section are carried out promptly ?

\*\*\*\*\*



**KARNATAKA LEGISLATURE SECRETARIAT**

# **MANUAL OF OFFICE PROCEDURE**

**PART – II**

# **MANUAL OF OFFICE PROCEDURE**

## **PART – II**

## **PREFACE**

The Present Manual is an attempt made by the Official Committee constituted for the purpose to lay down the Office Procedure with regard to the following:

- I. Constitution of Karnataka Legislature Secretariat
- II. Powers and Duties of the Officers of the Secretariat
- III. The Outline Process Chart of a paper from Receipt to Disposal
- IV. Receipt, Registration and Distribution of Dak
- V. Diarising and Marking of Dak in Section
- VI. Action on Receipts, Notes and Orders
- VII. Drafting
- VIII. Printing of Board / Special Board orders
- IX. Issue and Action thereafter
- X. Forms and Rules of Correspondence
- XI. Arrangement and Maintenance of Files
- XII. Indexing and Recording
- XIII. Process of Parliamentary Matters
- XIV. Checks on Delays
- XV. Inspections
- XVI. Secretariat Records
- XVII. Representation
- XVIII. Miscellaneous

It is expected that all the Officers and Officials in the Legislature Secretariat will study carefully and familiarise themselves with the Manual and follow scrupulously the procedure laid down therein.

Comments and suggestions to make this Manual more useful are always welcome.

Bangalore,  
Dated: 1st November 1997

**YAKUB SHARIFF**  
Secretary.

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## **CHAPTER I**

### **LEGISLATURE SECRETARIAT**

#### **1. Constitution of Karnataka Legislature Secretariat:**

The Constitution of India provides that there shall be a separate Secretariat for the State Legislature. The provisions of Article 187 of the Constitution of India envisage an autonomous secretariat for the Legislature under the control of the speaker and the Chairman. The Karnataka Legislature Secretariat has been accorded independent status under G.O. No. LAW 67 LGA 79, dated 29-9-1984.

#### **2. Powers and Functions of the Special Board:**

The Special Board is the appointing authority for the category of posts of Secretary and Joint Secretary, Rules (including amendments to the existing rules), Order, Notifications and the like under the Legislature, Legislators, Presiding Officers, the Leaders of Opposition and the Government Chief Whips in respect of their salary, all types of allowances, pensions, medical bills, accommodation, personal staff, journeys, facilities and all orders relating to them shall be issued only with the approval of the Special Board.

No order having financial implications shall be issued without the approval of the Special Board and all such proposals shall be placed before the Special Board by the Secretary, Legislature with the remarks of the Government in the Finance Department.

The Special Board may by order, amend the Rules by increasing or reducing the number of posts specified therein or by adding there to any new category of posts or in any other manner.

#### **3. Powers and Functions of the Board:**

The Board exercises control over the staff and administration of the Karnataka Legislature Secretariat in view of the provision of Article 187 of the Constitution of India (and the Rules framed thereunder). The Board, without the approval of the Special Board, can create the category of posts of Deputy Secretaries and under Secretaries in Group 'A' and posts in Group 'B', 'C' and 'D' with the concurrence of Financial Department.

#### **4. Power and Functions of the Secretary:**

The Secretary, subject to the approval of the Board, exercise control over the staff of the Karnataka Legislature Secretariat and shall be responsible for the working of the Secretariat.

The Secretary has the powers, privileges and status of a Secretary to Government.

The Secretary is the appointing authority for the category of Group 'D' Posts.

#### **5. The Legislature Secretariat:**

(1) The business of the Legislature Secretariat is transected in the following Sections/Branches of the Secretariat.

- (1) Legislation Branch (L.A.)
- (2) Legislation question Branch (L.A.)
- (3) Legislation Branch (L.C.)
- (4) Legislation Question Branch (L.C.)
- (5) Executive Branch
- (6) Library
- (7) Reference and Research Section
- (8) Administration-I section
- (9) Administration-II Section
- (10) Legislator's Home
- (11) Accounts-I & III Section
- (12) Accounts-II Section
- (13) Receipts & Issue Section
- (14) Editing Section
- (15) Reporting Section
- (16) Committee on Public Accounts
- (17) Committee on Public Undertakings



- (18) Committee on Estimates
- (19) Committee on the Welfare of SCs/STs
- (20) Committee on the Welfare of BCs/BTs
- (21) LA/LC Assurances Committee Section
- (22) Sub-ordinate Legislation Committee Section
- (23) Records Section

(2) The business of the Secretariat is classified, distributed in and between different sections as mentioned in Annexures to this Manual

(3) The Secretariat shall generally be under the overall control of the Secretary.

(4) The Secretary may be assisted in the discharge of his work by such number of Joint Secretaries/Deputy Secretaries, under Secretaries and Section Officers as may be decided from time to time.

(5) Each Section shall be given such number of Senior Assistants, Assistants, Junior Assistants, Typists and Group 'D' staff as the volume of work in the section warrants.

(6) In every section, there shall be a number of stenographers, who may be either attaches to Officers or to sections or kept in a pool for common use. Stenographers attached to officers will also act as their personal Assistant vide para 15.

(7) The Secretariat is served by a General Receipts and Issue Section. Subject to the provisions of para 37 of the Manual, this section receives all communications addressed to Officers in the Secretariat and despatches all communications sent out by the sections of the Secretariat.

(8) There is a Library which contains books and periodicals required for the use of the Members and Secretariat Staff, for reference and general study. The Library is available for the use of any Member or the Secretariat Staff and such others as may be specially authorized by the Secretary. Detailed information regarding the Library is given in Appendix-I.

## **CHAPTER II**

### **POWERS AND DUTIES OF THE OFFICERS OF THE SECRETARIAT**

**SECRETARY6.** (i) The Administrative control of the Secretariat services rests with the Board subject to such general or special directions as the Secretary may give, from time to time. The Deputy or Under Secretaries in the secretariat who are placed incharge of the Administration will attend to matters relating to appointments, postings leave, retirement, disciplinary action of the Secretariat staff and their allocation amongst the several sections.

(ii) Secretary has the overall responsibility for efficient functioning of the Secretariat and for making continual effort for administrative improvement in the entire machinery of the Secretariat.

### **ADDITIONAL SECRETARY/JOINT SECRETARIES**

7. Subject to the general control and supervision of the Secretary, Secretary-II/Additional Secretary/Joint Secretary will be in independent charge of a specific block of work in the Secretariat as may be assigned to him and in respect of such work, discharges all the functions of Secretary. But the Secretary may, at any time call for a case or class of cases to assigned and deal with the case or class of cases himself. The Secretary will also keep himself generally in touch with the major decisions taken in respect of the work assigned to the Secretary-II/Additional Secretary/Joint Secretary, to see that there is full co-ordination of the work of the Secretariat as a whole. The Secretary will also be responsible for all administrative and other work common to the whole of the Secretariat.

### **DEPUTY SECRETARY**

8. The Deputy Secretaries/Registrar, as their name implies, deputise for the Secretary and will exercise such powers as the Board/Secretary delegate to them from time to time.

### **INTERNAL FINANCIAL ADVISER (IFA)**

9. The IFA will be incharge of all the work relating to the Finance, Budget and Accounts of Secretariat as mentioned in the KIS (Consultation with Financial Adviser) Rules, 1986.

### **UNDER SECRETARY**

10. (i) An Under Secretary is the Junior most Officer on the first ring of the secretariat hierarchy authorized to issue orders in the name of the Governor of

Karnataka, Special Board and Board. He exercises control over the Section or Sections placed in his charge both in regard to the dispatch of business and in regard to discipline. It is his duty to check delays, superfluous moting and proliity of language, whether in notes or drafts and enforce the rigid observance of all rules in regard to office notes drafting, referencing, indexing recording, etc., and to ensure that coreless and dilatory subordinates are brought to book. In accordance with the delegation of powers and such specific instructions as the Secretary may issue from time to time, he may pass final orders approving the proposal in other cases and he will see that points on which orders are required are clearly and consisely set further and will ordinarily express his own views on them. Established precedants represent the weight of experience and are useful in ensuring uniform treatment between individuals and are thus of great importance. But they should be used with discretion and judgment and in particular, their applicability to existing conditions should always be carefully considered. When the special Board/Board have passed orders in a case, the Under Secretary should see that those orders are conveyed accurately, clearly and in suitable language to those whom they concern, and that all relevant points are dealt with in the communication to be issued.

(ii) It is the duty of every Officer to place before the Secretary and Board all Facts relevant to a case particularly Audicating the points for decisions and tender appropriate advice to the Board. The advice tendered at all stages should be in conformity with the objective assessment of facts. It is the duty of every Officer/ Official to express his views freely and concisely in sober and unambiguous terms, with due regard to facts and offer such comments and suggestions as are necessary for arriving at rational decisiions. He will, however, be responsible for implementing without mental reservation such decisions or orders as the Board may take or issue, irrespective of whether such decisions were taken in accordance with his advice or otherwise.

### **Section Officer**

11. (i) The Section Officer is an Officer who is in charge of a Section, he is primarily responsible for the general efficiency of the section in his charge and is directly responsible to the officer under whom he works for the efficient and expeditious despatch of business at all stages. He is overall responsible for all files relating to subjects allotted to the Section and maintained by the Senior Assistant/ Assistants under him. He will ensure that the notes and draft proceedings from his section are accurate. He will guide them and own the ultimate responsibility. He will ensure that files submitted by the Assistants are strictly in accordance with the

provisions of the Manual and exercise a close scrutiny in the matter of submission of files to higher Officers.

(ii) Besides being responsible for the general supervision of work or of the staff in his section, a Section Officer should also personally handle important and intricate cases where he should, if required, summarise facts of the case and record the appropriate noting, etc., himself. Even in cases, where the Senior Assistants and Assistants have been permitted to submit papers direct to Under Secretary, the Section Officer will be responsible for exercising general control and supervision over their working. For details of the duties, responsibilities and powers of the Section Officer with a check list vide page No.                      Appendix II.

### **SENIOR ASSISTANT/ASSISTANT**

12. A Senior Assistant/Assistant works under the orders of the Section Officer and is responsible for the work entrusted to him.

Each Assistant in a Section is allotted a certain number of subjects to deal with. His duties mainly are:

- i) to maintain the Assistant's Diary;
- ii) to examine and put up suitable notes and drafts on cases promptly and submit them to the Section Officer after properly referencing and paging them;
- iii) to ensure that the notes are submitted on files in such manner that they do not end at the bottom of the note sheet, but are appropriately spelled over on the next page so as to enable the Officers to give their orders below the note and in continuation thereof;
- iv) to ensure that the instructions contained in para numbers to be noted ( ) are followed strictly in the matter of noting and drafting;
- v) to maintain properly the standing Guard Files and other necessary registers;
- vi) to keep papers and files in tidy condition;
- vii) to ensure that files are properly marked for suspense to be brought forward on appropriate dates;
- viii) to ensure that reports/returns if any, are received/submitted at the appropriate times;

- ix) to maintain the books/publications connected with his work amended and up-to-date; and
- x) to generally assist the Section Officer in whatever manner he may desire in the proper functioning of the Section.

#### **JUNIOR ASSISTANT/HOUSE KEEPER/RECEPTIONISTS**

13. (i) The Junior Assistant is entrusted with the routine duties of maintaining prescribed registers, dispatching and recording of cases. In addition, Junior Assistant should assist the Assistant and the Section Officer in the preparation of statements and periodical returns, issue of reminders and comparing fair copies and do such other work as may be entrusted to him by the Section Officer.

(ii) The Receptionist is responsible for work of maintenance of arrival and departure register, reservation and vacation of rooms, movement of Cards for the Legislators and others, and to collect lodging car hire charges etc., and credit the same in the office daily.

(iii) The House Keepers are responsible for supervising the work of Group 'D' officials at Legislators' Home, maintenance of rooms and for attending complaints from Legislators & other occupants of rooms.

#### **STENOGRAPHERS**

14. A stenographer is generally employed on stenographic work. He may be called upon, whenever necessary, to assist in typing work. A Stenographer attached to officer(s) may also be required to act as Persona Assistant. The Principal responsibilities of Personal Assistants-cum-Stenographers are:-

- (i) taking dictation in shorthand and its transcription in the best manner possible;
- (ii) screening the telephone calls and visitors in a tactful manner;
- (iii) fixing up of appointments and where necessary, cancelling them;
- (iv) keeping an accurate list of engagements, meetings etc., and reminding the officer in sufficient time for keeping them up;
- (v) preserving and maintaining in good order the confidential records and other papers in the personal custody of the Officer;

- (vi) ensuring that the matters dealt with by the Officer are not lost sight of and are dealt with promptly and in due order;
- (vii) keeping a note of the movement of files passed by his officer to other Officers;
- (viii) keeping tract of the progress of the action taken by the Officers concerned on important matters as required by his Officer;
- (ix) destroying by burning his stenographic record of confidential or secret letters after the letter has been typed and issued;
- (x) familiarizing himself with the practice and procedure followed in connection with the tour of Officer;
- (xi) carrying out corrections to his Officer's reference books;
- (xii) generally assisting the Officer in such manner as he may direct;
- (xiii) accepting any file or paper whether ordinary or urgent, marked to an Officer and sent to his office at any time during the office hours and on no account refusing to accept such files or papers; and
- (xiv) preparing the fair copies of the drafts dictated by the Officer and D.O. Letters put up by the sections and approved by the Officer.

## **TYPIST**

16. (i) Typists should attend to typing work which should be characterized by speed, accuracy, cleanliness and neatness. The typist will be held personally responsible for any mistake or untidiness in fair copying. Typists should also attend to comparing work when called upon to do so. Typists should append their initials with date at the left hand bottom corner of all fair copies typed by them;

(ii) with a view to seeing that the typing work in all sections is evenly distributed between the typists sanctioned to the Secretariat and that the work of sections do not suffer owing to the absence of the Typists attached to sections, in particular, it may be advantageous for the Secretariat to for "POOL" of typists, attached to the Secretariat. The Senior Typist, with the designation Head Typist attends to the receipt and distribution of drafts and to the general supervision of the "Typing Pool" in addition to some typing work;

(iii) Each typist is required to maintain a work sheet as described in para 80.

17. The duties and responsibilities of Group 'D' employees working in the Secretariat as;

- i) Jamedars/Dafedars/Attenders/Maistry
- ii) Cycle Orderlies;
- iii) Dalayat-cum-Room Boy
- iv) Watchman
- v) Sweepers and Scavengers and
- vi) Lift Attenders, etc., shall be as laid down in the Annexure. ....vide page

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## **CHAPTER III**

### **THE OUTLINE PROCESS CHART OF A PAPER FROM RECEIPT TO DISPOSAL**

18. The subsequent chapters in this Manual describe in detail now work in the Secretariat is handled. This Chapter is in the form of an outline process chart and contains a brief enumeration of the stages through which a fresh receipt is received and finally disposed of in the R & I Section. These stage are:

- 1) Receipt of Dak or Tappal in the R & I Section
- 2) Sorting out of Dak section wise, date stamping and machine numbering;
- 3) Partial diarizing of certain papers in the Receipts and Issue Section;
- 4) Transmission of papers to the Section concerned through Diary/Register;
- 5) Receipt of papers in the Section by the Diarist;
- 6) Placing them in the Dak tray of the Under Secretary/Branch Officer for perusal.
- 7) Perusal and return of paper to the Section with the instructions, if any, given on it by Branch Officer/Under Secretary or other Higher Officer, as the case may be.
- 8) Marking of papers to Assistant concerned or to himself by Section Officer;
- 9) Diarists to fill up other relevant columns in the diary and marking the papers to the Assistant concerned;
- 10) Receipt by Assistant and registration in the Assistant's diary;
- 11) Submission by the Assistant in an existing file of a new file, duly referenced and noted upon, with relevant routine drafts, if necessary, to Under Secretary either direct or through the Section Officer, as the case may be;
- 12) Consideration of the file by the Section Officer/Branch Officer or Higher Officer and passing of orders thereon;
- 13) Return of the file to the Section for issue of orders passed on file;
- 14) Submission of fresh drafts in accordance with the orders passed on file, by the Section Officer or Assistant concerned; to Under Secretary/Branch Officer of Higher Officer for approval;
- 15) Approval draft (a) submitted on file and return to Section for issue;



16) Fair copying of the draft (a) approved and submission for signature after due comparison;

17) Return of signed fair copy to Section from the Under Secretary/Branch Officer and issue of the same;

18) Transmission of signed fair copies with marked office copy for dispatch to Receipt and Issue Section;

19) Return of the file to Assistant/Section Officer concerned with issued office copy;

20) Serial numbering, page numbering and docketing of issued office copy/draft by the Assistant.

21) Marking the file for "Record" or "Suspense", as the case may be, by the Assistant;

22) Noting the appropriate date with file No., in the Desk Diary and placing the file in the suspense rack by the Diarist/Assistant to be brought forward for further action on due date;

23) If the file is marked for Record after final action revision of the subject, If necessary, by the Assistant concerned;

24) Checking the subject matter, the Record classification and years for which it is recorded by Section Officer/Branch Officer/Under Secretary;

25) Recording after proper arrangement of papers by the Junior Assistant;

26) Transmission to Record Section with a list; and

27) Receipt in the Record Section and deposition in the appropriate record rack.

## CHAPTER IV

### RECEIPTS, REGISTRATION AND DISTRIBUTION OF DAK

19. The following terms are used in the Manual in the sense indicated below:

- a) **Branch** : A distinct unit of the Office having one or more sections and supervised by an Officer;
- b) **Case-worker**: An official who is entrusted with the work of one or more compilations;
- c) **Compilation**: A single definite subjects easily identified by Index Letters;
- d) **Section**: A number of case-workers attending as far as possible, to work of a similar nature and supervised by a Section Officer;
- e) **Section Officer**: The term 'Section Officer' includes Assistant Editor of Debates, Assistant Estate Officer, and any other Officer of equivalent rank.
- f) **Under Secretary**: The term 'Under Secretary' includes Editor of Debates, Estate Officer, Marshal and any other Officer of equivalent rank.

### RECEIPT, REGISTRATION AND DISTRIBUTION OF DAK:

19(A) A receipt may be a communication received through normal postal system or by hand or it may be a note or a letter send by Presiding Officers, Parliamentary Functionaries, Ministers, Members of Legislature of an Officer, requiring certain action to be taken. The Receipt and Issue Section is mainly concerned with the initial receipt and distribution of dak or tappal in the Legislature Secretariat as indicated in this Chapter.

### RECEIPT AND ISSUE SECTION

20. The Receipt and Issue Section of the Legislature Secretariat will collect Dak or tappal bags from the post office twice a day.

The following will be the arrangement with regard to the receipt of communications from outside addressed to the Presiding Officers and Officers of Legislature;

- a) All Dak addressed to the Officers of Legislature from outside is to be received in the Receipt and Issue Section.
- b) Correspondence of any kind addressed to the Presiding Officers, Deputy Presiding Officers and Officers of the Legislature Secretariat shall be received in the

Receipt and Issue Section and passed on to the Personal Establishment of the Presiding officer/Deputy Presiding Officers/concerned branches of the Legislature Secretariat, as the case may be.

c) Envelopes addressed to Officers by name or marked 'Secret' or 'Confidential' will be sent to the address direct unopened. Registered post and insured articles and telegrams addressed to Officers by name will be received by them and passed on to the concerned section. The Personal Assistants shall maintain a Register of Receipts in such cases.

d) In every case, the receipt should be acknowledged by the recipient by signing his name in full and affixing Office seal.

e) Personal Assistants to Presiding Officers/Deputy Presiding Officers/Secretary and other higher Officers should give acknowledgement for the receipt of the files or papers (other than tappal) sent by the sections for the orders of the Presiding Officers/Officers concerned with their full signature in ink.

#### **OPENING OF DAK**

21. All covers should be opened by one of the Receipt Clerks in the R & I Section and stamped with the date of receipt in the presents of the Section Officer incharge of the Section. The Receipt Clerk should verify, as far as practicable, the enclosures and make a note on the "Receipt", if any enclosures are found missing.

#### **NUMBERING AND DISTRIBUTION OF DAK**

22. Receipts will then be sorted out section wise to help in the allocation of receipts, a complete list of subjects dealt within each section will be supplied to the receipt clerk and kept up-to-date. He should consult the Under Secretary incharge of the Section, when in difficulty or in doubt, about the proper allocation of a receipt.

23. Telegrams and other receipts marked 'Immediate' and 'Priority' will be separated from other dak and dealt with first and distributed to the concerned Officers/Officials immediately after their receipt.

24. (a) Envelopes addressed to the Secretary by name and those marked 'Secret' and 'Confidential' will be received in the R & I Section and sent to the Personal Establishment of the Secretary.

(b) Telegrams addressed to the Secretary by name or designation will be received in the personal establishment of the Secretary.

(c) Envelopes, Registered posts, Insured Articles, etc., addressed to the Secretary by designation will be opened and sent to the concerned Officers/Sections by the R & I Section.

25. The receipts will thereafter be numbered with the aid of automatic numbering machine, or if there is no such machine, by hand. There will be one continuous running serial number for the Legislature Secretariat, as a whole, for each calendar year and the receipts relating to each section for registration on a day will be given continuous numbers, as far as possible. Papers of an ephemeral nature such as, post copies of telephonic messages, tour programmes of Presiding Officers/Committees and printed copies of indices or Government orders circulated among Sections are not be numbered.

26. The Secret and Confidential covers received in R & I Section will be machine numbered and transmitted to the Officers/Sections concerned with the least delay after noting in a Delivery Book in Form No 1. The R & I Section will machine number all the ordinary receipts received by it after sorting them out section wise and will enter them in the Section wise delivery books maintained by them in Form No. 2. The R & I Section will fill up columns 1, 3 and 4 of this register, the forms of which would be printed in duplicate, with the printed (original) page being perforated and duplicate form below it containing only columns 1 to 4. The R & I Section will use carbon paper while filling in the columns mentioned above, the writing being in ink ball-pen. The receipts along with the Register will then be sent to the section concerned. The Diarist in each section will receive the dak, check them with the entries in the Register, remove the printed perforated page written in ink and sign acquittance for the receipts in the carbon copy. Even if there are receipts which are wrongly marked they should be received and sent to the concerned sections. The Register will then be returned to the R & I section for entering further receipts meant for the section.

27. Files/G.O. Notes passed from one section/Department to another and notes or letters from Presiding Officers will not be routed through the R & I Section but will be sent direct to the Section/Department concerned. In certain cases where the markings are not correct the R & I Section will either indicate the correct section or receive them and send them to the concerned section.

28. The R & I section will distribute incoming Receipts to the sections at regular intervals twice or thrice during the day, say a 11.00 a.m., 2.30 p.m. and 4.00 p.m. Telegrams and other receipts marked 'Immediate' or 'Priority' will, however be sent to sections as and when received.

29. The functions and responsibilities of the Section Officer incharge of R & I Section are enumerated vide Appendix-I.

## **CHAPTER V**

### **DIARISING AND MARKING OF DAK IN SECTION**

30. The Diarist will put up all the fresh receipts received from the R & I section along with any other communications received direct in the Section in 'Dak' tray on the table or the Section Officer who will go through the receipts, select and hand book to the Diarist, those receipts of an ephemeral nature which need not be put up to the Branch Officer after marking them to dealing Assistants or noting instructions for their disposal. Select those receipts which do not pertain mark the other 'receipts' to the dealing Assistants (which term will, unless the context otherwise requires, be deemed to include Senior Assistants and Assistants and such of the Junior Assistants who are entrusted with case work) and put up the dak to the Branch Officer in Special Dak Pads.

**Explanation:** "Branch Officer" means the Officer over the Section Officer (incharge of the Sections) and includes the Under Secretary or any other Officer placed in such charge.

### **PERSUAL BY UNDER SECRETARY (BRANCH OFFICER)**

31. The Under Secretary (Branch Officer) will:

i) go through the dak sent to him and give directions for disposal, wherever possible;

ii) mark those receipts, which should be seen by higher officers at the dak stage and indicate the designation of the Officer or whom they should be submitted for perusal (Receipts which disclose existing or likely audit objections will be shown to the Secretary in the dak).

iii) make over the entire dak to the Section Officer. The Section Officer has to satisfy himself that all receipts put up to the Branch Officer for perusal have been returned to him and in case any paper is missing, it will be his duty to trace, crace or locate it, for which purpose, he should have made a note of the number of receipts sent to the Branch Officer. It is also his responsibility to see that all receipts are diarised by the Diarist and that Receipts marked to higher officers for perusal at the dak stage separated and sent to the concerned Officers after noting the movement in the Diary.

### **DIARISING AND DISTRIBUTION**

32. a) Each section in the Department will maintained a section Diary Register in Form No 2 with a separate running serial number for each calendar year to be

given in column 2 “progressive number of the Section Diary”. The Section Diary will be formed out of the original perforated sheets removed from register with which dak is received from the R & I Section and those received direct by the Section from Presiding Officer, Member, Officers and other Sections/Department will be entered in the Section Diary by the Diarist to whom the work has been assigned. All receipts have to be entered in the Section Diary except those receipts which are not required to be diarised (vide para). It is the duty of the Diarist to verify that all receipts are returned by the concerned Officers after perusal and that all receipts are distributed after perusal and that all receipts are distributed after diarizing with the least possible delay.

b) The Diarist should also verify whether any reference has been made in the ‘Receipt’ in question to any previous file number on the subject for which the present receipt should also be added. He will note the correspondence file number at the appropriate place in the Diary.

c) The receipts will then be distributed to dealing Assistants by the Diarist without delay and their acknowledgements obtained. Wherever new files are opened on ‘Receipts’ (vide para) the file numbers ought to be noted at the appropriate column by the Diarist even as he enters the new receipt in the file register.

#### **TYPE OF RECEIPT/WHICH SHOULD BE DIARIST**

33. (i) Subject to the exceptions enumerated in the next paragraph, the following types of receipts will be entered in the section Diary:

- a) all communications received including reminders from outside and acknowledgements of records and documents;
- b) all independent notes received from any office or any section or officer on which section is necessary;
- c) extracts of notes retained from files of, or copies of official and un-official memorandum, circulars, extracts, etc., received from any section for action; and
- d) files or notes received from other sections for comments etc.

ii) A file referred to another department un-officially should be diarised each time when it is received back.

#### **TYPES OF RECEIPTS WHICH SHOULD NOT BE DIARISED**

34. The following types of receipts should not be diarised:-

- i) casual leave applications;
- ii) copies of miscellaneous circulars, Office Memorandum, Extract, etc., Circulated for general information, Orders of general application, telephone lists, notices of holidays, tour programmes etc.
- iii) A sections own files and notes when received back from other sections to which these files and notes had previously been referred to for comments etc., and
- iv) any other types of receipts which are by a specific order issued should not be diarised.

#### **PERUSAL OF DAK BY DEPUTY SECRETARY**

35. The Deputy Secretary, may, in his discretion, submit to higher officers any receipts which he thinks should be brought to their notice and/on which he would like to seek their instructions at that stage. He will personally deal with and take action on as many of the receipts submitted to him in dak as may be dealt with without the assistance of the Office.

#### **INTER SECTIONAL MOVEMENT OF FILES & UN-OFFICIAL REFERENCE**

36. Movement of files and papers from one section to another need not be routed through the R & I section but may be sent direct to the Officer/Sections concerned. All un-official reference, either in file or separately will be marked by name or designation to an officer and received by the Officer/Section direct. The UO files/UO notes etc., marked by name or by designation should be accepted and acknowledged by the personal establishment of the officer concerned. A file which is referred un-officially to another section/department will on its return, be submitted in dak to the Branch Officer who will ordinarily deal with it himself.

#### **INSTRUCTIONS BY OFFICERS FOR LINE OF ACTION**

37. The Branch Officer i.e., the Under Secretary incharge of the Branch, Deputy Secretary or any other higher Officer to whom receipts are submitted in dak should give directions, wherever necessary, as to the line of action which he would like the office to take. In important cases where he will be expected to deal with a receipt himself, he should ask for the file to be put up to him with relevant papers without any noting. Receipts on which no special instructions are necessary will be merely initiated by him in taken of his having seen them.

- i) The Section Officer will see whether any of the receipts are of a difficult nature or present any special features which require his personal attention. He will

deal with such receipts himself or give necessary instructions to the dealing Assistant.

#### **PRIORITY IN THE MOVEMENT OF DAK**

38. All Officers must accord highest priority to the perusal of dak. Personal Assistants and Stenographers should treat the receipts moving up and down as 'Immediate'. Every Section Officer should keep a careful watch on any hold up in the movement of receipts. The Diarist will bring to his notice any papers which are not received back from officers within 24 hours.

#### **NOTE BOOK FOR IMPORTANT RECEIPTS**

39. The Section Officer will keep note on his personal Note Book or Desk Diary of important receipts requiring prompt action or which is required to be completed by a specified date, with a view of keeping a watch on progress of action.

#### **MAINTENANCE OF SCRUTINY OF SECTION DIARY**

40. i) The original Form No. 2 received from the R & I Section will be used by the section as section Diary, additional sheets being used for entering communications received in the section direct. The diarist will fill in columns 2, 5, 6 and 7 in the cases of all communications received from R & I. Section and all columns excepting column 1, in the cases of all communications received direct by the section. As and when communication is finally disposed of under diary number, the date of disposal will be shown by the Diarist in column 8 of the Section Diary.

ii) The loose sheets of the section Diary received from the R & I section along with the additional sheets used for diarising communications received direct by the section and duly completed by the Diarist will be put together in the proper form and bound together in the form of a register once a month to serve as a permanent section Diary Register.

iii) The Diarist is responsible for the proper maintenance of the Section Diary Register. The Section Officer will check the section Diary every week to verify that all receipts have been duly registered and distributed and that the columns of the section Diary should be signed by the Section Officer in taken or having checked it.



## **CHAPTER VI**

### **ACTION ON RECEIPTS NOTES AND ORDERS**

#### **41. Initial examination or receipts by Assistant:**

i) Soon after the receipts are made over to him the Assistant will note them in his worksheet (Assistant's Diary) in a Chronological order. The register will be in the KLS Form No..... All receipts/notes initiated by the case workers themselves for action have to be entered in this Register indicating them by the numbers assigned to them. In column 8 the nature of disposal should be indicated i.e., whether a case/receipt is finally disposed of or is kept under suspense. The case worker or assistant will scrutinize all receipts one by one and sort them according to their priority rating. 'Immediate' and 'Priority' receipts shall be taken up first, care being taken at the same time that ordinary receipts are not left unattended to for an unduly long period.

ii) The Assistant will check the enclosures, and if any enclosure is found short or missing, he will bring the fact to the notice of the Section Officer and also suggest suitable action for obtaining the missing papers. A record of the verification should be made on the enclosures previously sent with the files have been returned intact or not and a record should be made and action taken to get them.

iii) A paper belonging to another Section of the Secretariat should be immediately put up to the Section Officer with a U.O. Note transferring it to the concerned section.

iv) If any other section or sections are concerned with any part of aspect of a receipt, the Assistant will send relevant extracts through the section officer to the Under Secretary of the Section/Sections concerned for remarks or necessary action.

v) If among the communications received in the dak there are certain important communications from the Government of India, Parliament/State Legislatures, State Government or the High Court or First reports relating to the occurrence of events which should be reported to the presiding officers concerned, action should be taken accordingly.

#### **42. Collection of relevant material:**

i) The next stage of action by office is to collect the material required for taking action on a receipt. This will ordinarily consist of (a) the relevant file on the subject, if one already exists, and b) other connected files or papers to which

reference is made in this receipt. Office will also point out the law and rules where they are to be found or statutory or customary procedure, and supply other relevant facts and figures available in the Section.

ii) For this purpose, the Assistant will consult the Indices, file register, section note book of important decisions, attending Guard files on the subject and relevant Acts, Rules, Regulations etc.,

43. Bringing a receipt on a file: A receipt will be brought on to a curring file if it relates to a subject on which a file already exists. If not, it will be necessary to open a new file for initiating action on that receipt. The receipt will be then docketed and referred in the manner described in paras .....and.....

44. No new file will be opened on receipts of an aphomeral nature: A receipt calling for some information of a general nature or furnishing some routine information of a General Character need not be added to or dealt with in the existing file on the subject, if any, when the addition of the receipt will not contribute materially to the disposal of the case dealt with on the file, as a whole, or it is not likely to be required for purposes of reference in the file at later date. Such receipts will, is necessary, be replied to conveniently with the material available with the Section on diary, numbers and after such disposal filed in monthly filing folders. Section will maintain separate filling folders for each month. These monthly filling folders will be reviewed after every year and unwanted papers destroyed.

**45. Noting on the File:**

i) A note is a record of comments or observations on features of a proposal contained n the paper under references. The purpose of recording a note is to facilitate the formulation of a decision or issued of orders or the proposal. According to the importance of a case, a note may consist of a brief resume of its background history as disclosed by the previous papers on the subject, an analysis or statement of the issues involved in the proposal under considerations and also the views or suggestions regarding the course of action to be adopted with a view to taking a decision and a passing of final orders. A mechanical reproduction or repetition of the contents of an incoming receipt in the body of a note should be scrupulously avoided.

ii) A note recorded by a Member of Board/Special Board or Governor will be referred to a 'Minute'.

iii) The Assistant shall append his initial with the date on the left hand of the Note Sheet below his note. The Section Officer shall sign his name in full with

the date on the right hand side of the note sheet immediately below the note written either by the Assistant or by himself.

iv) The Officer who records a note should append his signature with date below the note towards right side of the sheet. Rubber stamp indicating his name and designation should be affixed below his signature. When the name of the officer is typed below his signature it would not be necessary to affix the Rubber stamp since the purpose in view is already served. Indiscriminate use of rubber stamps should, however, be avoided.

v) No official should note upon a case in which he is personally interested.

**46. Scope and purpose of noting by Office:**

When the line of action on a receipt is obvious or is based on a clear precedent or practice or has been indicated by the Branch Officer or Deputy Secretary in the directing given by him on a receipt a draft reply, where necessary, should be put up for approval with out such noting; in other cases office will put up a note. It will be the duty of the officer;-

- i) to see whether all the facts, so far as they are open to check, are correct;
- ii) to point out mistakes or mis-statements of facts, if any;
- iii) to draw attention, where necessary, to the statutory or customary procedure and to point out the Law and Rules and where they are to be found;
- iv) to supply other relevant facts and figures available in the Secretariat, and to put up the standing guard file on the subject or other papers containing precedents or previous decisions of policy;
- v) to state the question or questions for considerations to bring out clearly the points requiring decision; and
- vi) to suggest a course of action, wherever possible and in such cases to put up a draft reply for approval along with the Note.

The instructions contained in para shall also be borne in mind by the Assistant while putting up notes. If the case presents any difficulty or abnormal feature, the Assistant should obtain instruction from the Section Officer who should guide the Assistant in the disposal of the case.

47. The Section Officer will scrutinise the note of the Assistant in all respects and add his own remarks or suggestions, where necessary and submit the case to the Branch Officer or Higher Officer as per standing Orders or Special instructions

with sufficient blank Note sheets. If, however there are many changes to be incorporated in the Assistant Note a revised note may be put up by the Section Officer. There should be only one final note from the Section.

**48. Noting by the Under Secretary:**

i) It will be the responsibility of the Under Secretary to scrutinise and see for himself that any case which is submitted or put up to him by the Section is complete in all respects and contains all necessary material relevant to the subject matter of the case. It will be his duty to carefully study the issue involved and make suggestions (save in exceptional cases which may be beyond his competence) regarding the course of action to be adopted.

ii) An Under Secretary will dispose of as many cases as possible on his own responsibility but will take the order of Deputy Secretary or Higher Officers on important cases or these involving questions of policy or where the course of action to be followed is not clear. It will be his endeavour to see that the number of cases to be submitted formally to the Deputy Secretary is reduced to the essential minimum. To this end, he will wherever necessary obtain verbal directions from his superior officer regarding the manner of disposal. In all such cases, he will make a brief record of the directions orally received.

iii) Whenever the Under Secretary has to record a decision or pass orders himself or in appropriate cases to make recommendations for the considerations of higher officers, he will confine his note strictly to any additional points to be made by him.

iv) The purpose of writing a note on a file is to elucidate certain points arising out of correspondence. If once these points have been discussed by an Assistant, Section Officer, Under Secretary there is no necessity for repeating the same discussion in a note to be recorded by the Deputy Secretary, or other higher officers. Repetitive noting serves no purpose and must be avoided. If the Under Secretary is in agreement with the view stated by the Assistant or Section Officer and the Deputy Secretary similarly agrees with what the Under Secretary has said, both the Under Secretary and the Deputy Secretary should restrict their noting to saying 'I agree' in such cases, even more signature below the note of the Assistant or Section Officer or Under Secretary will do.

v) Under Secretaries and Deputy Secretaries should add a note to what has been said before only when they have to make a new point or highlight a point mentioned but not clearly brought out in the notes of the case worker or Section officer or Under Secretary, as the case may be. It is a serious reflection of the

competence of an officer if the facts as contained in the note submitted or counter-signed by him are found to be inaccurate.

49. The Officers should also take to direct noting as far as practicable from their own levels instead of waiting for the files to start from the Assistant. In all important cases where, for example, communications have to be addressed to parliament/State Legislature/Government of India and other States and difficult or complicated orders are to issue, Under Secretary should himself prepare the draft. The services of Stenographers should be availed of as far as possible.

50. Spotlighting delays: All dealing heads should dispose of all receipts/files within 5 days of their receipt and officers at all levels should attend the cases submitted to them similarly. If this requirement is not fulfilled the concerned Official/Officer will be required to explain his failure to do so to the next higher authority. Papers which are of immediate/urgent nature should be dealt with appropriately.

**51. Channel of submission of cases:**

i) Depending upon the level at which a decision has to be taken or orders have to be taken or orders have to be passed, a case may be routed through the following Officials or stages in the Secretariat hierarchy - Section Officer - Under Secretary - Deputy Secretary - Joint Secretary – Secretary - Board.

But in actual practice, a case, need not pass through all these stages before it is finally disposed of. In order to cut down delays and ensure expenditure disposal of cases coming up for decision, a suitable working arrangements should be made so that, a case does not pass through more than an aggregate of three levels.

ii) Senior Assistant and selected Assistant may be authorized to submit cases direct to Under Secretary;

iii) Section Officer may be permitted to submit certain types of cases direct Deputy Secretary and the Under Secretary to the Joint Secretary or Secretary.

iv) After orders have been passed by a competent officer, the file should go back to the section through all officers at intermediate stages to keep them informed of the decision taken;

v) Files should move directly from the Deputy Secretary upwards without coming back to the Section concerned for noting their movements. Such

movements should be noted by the personal Assistant / Stenographer concerned in the Register K.L.S. Form No. .... maintained by him.

**52. Consultation with other departments:**

i) Where it is necessary to consult other departments before a decision on a case can be taken, a formal reference may be made to the department either by sending the file un-officially or by means of self-contained un-official note or un-official memorandum, as may be found convenient. When the file itself is sent, the point or points in which the views of other departments are sought or the points which are proposed to be brought to the notice of the other department should normally be clearly stated in a single note. Whenever possible, the draft of orders proposed to be issued by the referring department may also be put on the file.

ii) Where the course of action to be followed is doubtful the Under Secretary may take the orders of Deputy Secretary / Secretary before referring the case to other departments. The habit of putting up every case to a Deputy Secretary / Secretary before consulting other departments should be avoided.

**53. Record of verbal orders and instructions:**

All the verbal orders or instructions given by the officers, and where necessary, the circumstances leading to such orders / instructions, should be recorded on the file.

**54. Running summary of facts:**

a) To facilitate considerations and to obviate repeated recapitulation a 'running summary of facts' shall be prepared in every case in which it is evident that such a summary would contribute to its speedy disposal. Such note should form a part of notes, portion of the files.

b) It will be the duty of the Section Officer and the Under Secretary to see:

i) That a summary is prepared at the earliest appropriate stage in all suitable cases, ex., these having a complicated history relating to individual instructions or transactions and

ii) that the summary is kept up-to-date by making suitable additions as and when further factual developments, if any occur.

c) Opinions of Individual Officers should not be incorporated in the summary, unless they are opinions expressed by experts on the subject of highly qualified technical hands whose views on the subjects are very much valued in

their individual capacity. However, when a case is referred to another department / Office consulted should be treated as constituting a material part of the facts of the case and added to the summary.

**55. Summary for the Board:**

In regard to every important cases submitted to the Board a self-continued summary should be put up unless the last note in the file itself serves that purpose or a running summary is already available on the file. Vide para ..... The summary shall give all the facts relevant to the case including the views expressed on the subject by department or departments, if any, consulted in the matter, and usually specify the laws or rules, if any, and the point on which the orders of the Board are required.

**56. General Instructions regarding noting:**

i) All notes should be concise, brief and to the point, the language of notes should be factual and civil, particular care being taken to avoid innuendoes and sarcasms of any kind. The purpose of writing a note is to highlight important points for facilitating a decision. Reproduction or narration or paragraphs of the contents of a receipt in the body of the note should be avoided. It must be resumed that receipts placed on the correspondence portion of the file will be perused or referred to by the Officer responsible for dealing with the file.

ii) When it is proposed to record a note on a file on which a running summary of facts is available it is enough if. For the purpose of citing the relevant facts whenever necessary a reference is made to the summary of facts, or more precisely to appropriate portions of the summary, without reproducing or attempting another narration of the facts of the case;

iii) If there are factual errors in the note of another Section/Department which need to be pointed out or if the opinion expressed therein is to be commented upon, care should be taken that the observations are couched in courteous and temperate language free from personal or immonious remarks;

vi) If the under Secretary or Higher Officer has made any remarks on a receipt such remarks should first be copied out on the Note Sheet. A format note should be recorded only after the remarks on the receipt have been transposed to the Note portion of the file. As far as possible, no note should be recorded on the Receipt.

v) When a Receipt refers to several points relating to a number of subjects, an appropriate extract from the Receipt concerning each point should be taken to

separate files, in appropriate tendorsement being recorded in the main file in which the original communication has been received and docketed.

vi) Obiteration of notes by pasting over the notes should generally be avoided. If a note, once recorded, is sought to be further modified or changed the straight method would be to score it out and record another note. In exceptional cases however, Senior Officers not below the rank of a Secretary or Preciding Officers may, in the interest of neatness or for any other reason order cancellation or supersession of any nothing or endorsement by pasting over a blank paper or another note on it;

vii) In the case of a file referred by any other departments to this Secretariat for appropriate actions, the letter, should take extracts of the relevant portion of the file either on in existing or on a newly opened file. All notings on the subject will be recorded in that file and only the final views or the conclusions of the Secretariat will be endorsed on the file received from the Section/Department making the reference;

57. Section Guard File: Each section shall maintain guard files on policy matters, type subjects deal with in the section and on important orders of parliament, State Legislatures and Government Departments. These guard files shall bear the numbers and serve as aids for ready reference for the Section. The List of such guard files shall be prepared and approved by the Under Secretary. Section Guard files shall be maintained by the Section Officer in a simple manner by compilation in one folder duly indexed as follows;

a) Policy Guard File: The guard file on Policy matters shall contain a copy or relevant extract of an Act or Rules of notification or extract of the decision which lay down the course of action in conducting the business of Parliament State Legislature / Government and such operations. Any other decision which are in deviation or which are in the form of clarifications / abridgements, or in the form of exception shall also be complied. The purpose is to keep tract of the execution of the declared policies and the deviations or exception survived in exigencies and for the reasons receipt which are very important to be kept in view by all the dealing hands in the section. The notes, minutes, direction or opinion etc., recorded which are very important are to kept in view by all the dealing hands in the section. The notes, minutes, directions or opinions, etc., recorded in the section files or files of other section, in respect of the declared policy shall be kept tract of and extracts taken out preserved in the guard file.



b) Subject Guard File: The guard file for each type of subjects dealt in the Section shall be maintained in one folder and the concerned, orders / Notifications / Letters et., are to be compiled in chronological order and page number continuously.

c) Standing Order File: The Guard Files for important Orders, Circulars or standing orders of Parliament / State Legislatures / Other Departments which are required frequently for disposal of references in the section are to be compiled and indexed in the same manner followed in respect of subject guard file for "Type subjects".

58. Each section guards file shall remain in the custody of the Section Officer. The section guard file shall be kept up-to-date by placing the Orders, Official Memoranda, letters or other communications including extracts taken from files of other sections / departments by the Section Officers with the assistance of the Staff. The Assistant shall see that whenever orders pertaining to the policy or the 'Type subject' are issued, the same are placed in the concerned guard files and invariably endorsed to the guard file. As soon as the communications are issued, the Assistant shall keep copies of the same in the concerned guard files and jot down its particulars in the index sheet. The section guard files shall not be put up with cases and they shall always be available for ready reference in the section or for the higher officers. Whenever Orders, Notifications or letters that are compiled in the guard files are required for processing the subsequent proposals on the same policy, copies of such reference shall be got typed and under no circumstances be detached from the compilation. The guard files of each calendar year shall be got stitched and page numbered continuously and retained in the Section.

In these circumstances, the file should not be marked down, mechanically to the Deputy Secretary or other Junior Officers to be dealt with at their level. If at any time, the Secretary finds it necessary to examine certain points he may arrange for each examination separately and endorse his views under his signature on the file.

**59. Select Files:**

i) A copy each of every important order or letter or any other documents issued during the year from the section will be kept in a separate collection in chronological orders called selection file. The select file will remain in the custody of the Section Officer for reference by all Official of the Section. A section in addition shall maintain subject-wise select file. Where necessary separate select files may be

opened for copies of important notes, procedures or legal opinions etc., bearing on different subject dealt with in the Section.

ii) A select file must be kept upto date and bear an index page in the beginning containing particulars of the order etc., compiled in it. As soon as an order etc., is issued Assistant will keep a copy there of in the select file and jot down its particulars on the index page;

iii) As a rule a select file should not be put up with case it should always be avail for reference by the Section itself. Copies of orders etc., required for putting up with cases should be obtained from the stock of spare copies in the Section of got typed. If the stock is exhausted. Under no circumstances a copy of an order be detached from the select file in which it is compiled.

**60. Policy Files: Each section should maintain policy files in the manner indicated below:-**

i) Every section should first prepare a list of the main subject dealt with in the section for the purpose of maintaining policy files for each of them. The list should be carefully drawn up by grouping the total activities of the section into convenient blocks. An illustrative list of such subjects is given below:-

- a) Advances for houses / conveyance etc.,
- b) Deputation of Secretariat staff;
- c) Property returns, submission, review etc.,
- d) Use of Secretariat Vehicles;
- e) Grant of Special Pay, etc.,
- f) Recognition / DE-Recognition of Leader of Opposition
- g) Recognition of Political parties
- h) Salary / pension to Members / Ex-members
- i) Facilitation to Members

The list may be supplements as and when necessary.

ii) After preparing the list a policy file should be maintained for each subject. All proposals regarding for formulation of policy on a subject should always be processed in the policy file maintained for that subject; If in any individual case a policy decision is arrived, at, an extract of that decision should be transferred to the policy file on that subject. Hence, a policy file on a subject will

contain all original notings and decisions relating to formulation of policy on that subject and also extracts of policy decisions arrived at in individual cases;

iii) A policy file on a subject will continue indefinitely. When the bulk of a file increases, further volumes may be opened. The file number will be the same for all volumes, but the different volumes may be numbered as Volume I, Volume II, etc.,

iv) The policy files will never be closed for purpose of monthly arrears list they may be treated as cases entered in Call book.

## **CHAPTER VII**

### **DRAFTING**

#### **61. Draft when to be prepared:**

(i) Except when the line of action on a case is obvious a draft of the communication proposed to be send out will be prepared after orders have been passed by the competent officer indicating the terms of the reply to be sent;

(ii) An Under Secretary or a higher Officer who has formulated his ideas on a case may himself prepare a draft and authorized its issue or submit it the next higher officer for approval, as the case may be. Draft of letter to be issue in all important and complicated cases as well as to the Parliament / State Legislatures / Government (excluding those or purely formal nature) should be prepared by the Under Secretary, or even by higher officers depending upon the degree of importance of the case. In other cases, a draft will be prepared by office. Such drafts which the Under Secretary consider it necessary to be seen by Deputy Secretary or Secretary concerned shall be submitted to the concerned officers for approval before issue.

#### **62. Wording of a Draft:**

(i) A draft should convey precisely the except intention of the orders passed. The language used in the draft should be clear, concise and incapable of mis-construction. Long sentences, abruptness, redundancy, circulation, superlatives and repetitions whether of words, expressions or ideas, should be avoided. Communications of more than average length or complexity should generally conclude with a summary.

(ii) The various forms of communications and the circumstances in which they should be made use of are described in Chapter X (Para -----)

#### **Authentication of orders;**

According to para 6 of G.O. No. LAW 67 LGR 79 regarding independent status to the KLS all orders of the Governor / Board / Special Board shall be authenticated by the Secretary / Joint Secretary /

Deputy Secretary / Under Secretary, KLS under clause  
(2) of Article 166 of the Constitutions as under:

By order and in the name of the Board /  
Special Board / Governor of Karnataka

Signature,  
Name and Designation of the Officer  
authorized to sign.

(iii) Copies and extracts of such orders or instruments may be authenticated by the Section Officers concerned as follows:

‘True Copy’ (or extract)

Forwarded to X. Y. Z etc.,

By Order

A, B, C, etc.,

Section Officer,

Section Officer

**63. General Instruction:**

(i) A draft will be prepared in the prescribed form and written or typed in half margin in both sides of the paper. Sufficient space should be left between successive lines as to admit inter-alienation of a word or phrase, if necessary, should be attached to the draft. If two or more drafts are put up on a file the draft as well as the D.F.A. slips will be numbered DFA-I, DFA-II, DFA-iii and so on;

(iii) The draft for approval put up on a file should be placed on top of the correspondence portion of the file and tagged and reference invited to it in the notes;

(iv) The number and date of the communication replied to or of the last communication in a series of correspondence on a communication should also always refer to the last communication on the subject received from or sent to the Office to which the endorsement is addressed. Where it is necessary to refer to more than one communication or a series of communications, this should be done in the margin of the draft. The subject should be mentioned invariably in all communication including reminders;

(v) A draft should show clearly the enclosure which are to accompany the fair copy. To draw the attention of the typist, the comparers and the despatches stoke should be made in the margin;

(vi) If copies of an enclosure referred to in the draft are available and are not, therefore, to be typed the fact should be clearly stated in the margin of the draft for the guidance of the typist;

(vii) All drafts put up on a file should bear the number of the file. When two or more letters, notifications, etc., are to issue from the same file on the same date the serial number should also be given in addition in order to avoid confusion in references, thus I. SBS/135 (i) FPP 89 2. SEB 146 FPD (ii) 89.

(ix) The name, designation of the officer, with whose signature

(xii) Where a large number of corrections have been made in the draft, a clean copy of the corrected draft may be made and added to the correspondence portion of the file. In such cases a serial number should be given only to the draft as finally issued.

**64. Standard Skeleton Drafts:** For communication of repetitive nature approval standard skeleton forms should be drawn up and cyclostyled or printed. One or more such forms according to the recruitments of the case may be submitted to the Officer concerned with one or more fair copies for signature.

**65. Addressing Communications to Officers by Name:**

No communication, other than a D.O. Letter should be addressed or marked to an officer by name unless it is intended that the matter or contents are such that it should receive the personal attention of the officer concerned when the subject is of secret nature or special urgency / importance or same ground has already been covered by personal discussion and the Officer to whom the paper is being marked would be in a position to record his views or decisions straightway when a paper is thus marked to an Officer by name, subsequent reminders relating to its original communication should also be sent to the same Officer (or if he has since been transferred to another charge, to his successor) by name.

**66. Priority marking on Drafts:** The drafts of all letters which are to issue as 'immediate' or 'very urgent' will be so marked under the orders of an officer not lower in rank than an Under Secretary.

67. **Orders in Administrative Appeals, etc.,:** Whenever an appeal or revision is disposed of by Board / Special Board / Governor a separate order in the form of proceedings should be drawn up before endorsing to the concerned person.

68. **Title:** Before putting up a draft order communicating any decision for approval the Assistant or Under Secretary who prepare the draft should give it a correct 'Title' vide chapter -----.

## **CHAPTER VIII**

### **PRINTING OF BOARD / SPECIAL BOARD ORDERS**

69. When drafts have been formally approved for issue the Section Officer concerned should decide in each case. Whether after issue such Orders be treated as standing orders, whether copies may be supplied to the press and also whether they should be published in the gazette in English or both in English and Kannada. He shall thereafter record an appropriate note on separate press docket sheets intended for the purpose which will be kept with the drafts.

70. Orders which cover private or personal matters should never be published in extense.

71. Correct headings to orders which have to be published in the Gazette should be supplied by the Sections.

72. Whenever a notification or other communication has been sent to the Gazette for publication, the Assistant should examine the relevant Gazette to see whether the Notification or communication sent to the press has been correctly published. The date and page of the Gazette should be entered in the appropriate place in the note sheet as well as on the Official copy of the communication in the relevant file. The Record clerk will bring to the notice of Section Officer before he records the papers, any omission in this regard.

73. Notification, proceedings of Board / Special Board and such other papers which are ordered to be printed will be sent to the Government press for printing.

74. In respect of Notifications and Orders sent to the press for printing, no proof are sent to the Secretariat Sections unless specifically asked for;

(i) In determining the number of copies to be printed the Section Officer should consider:-

(a) The requirements of the Secretariat;

(b) The number required for future use.

(ii) The first is regulated by a standing list which should be followed where no special demand has been made and the second should be fixed with reference to the demands that are likely to be made by the Secretariat for supply of spare copies. The number of copies printed over and above those so required will depend upon the importance of the papers. Special instructions in every such case should be obtained from the Under Secretary concerned.



## CHAPTER IX

### ISSUE AND ACTION THERE AFTER

75. **Issue:** The term 'Issue' is used to signify the various stages of action after approval of a draft namely; (a) typing of fair copy, (b) Examination of the typed material (c) submission the fair copy of for signature and finally (d) dispatch of the communication to the addressee. This, in fact, constitutes the major part of the functions of the R & I Section.

76. **Preparing of drafts for Issue:** Whenever a case is returned with final orders of the Under Secretary or Officers above him, the Section Officer will pass orders for issuing the approved draft, if any, on the file, in case of doubts, he should obtain orders of Under Secretary before doing so. In cases where there is no approved draft a suitable draft, consistent with the orders passed on the file will be put up by the Assistant and submitted to Under Secretary, who will return it after approval. Important drafts, having general applicability which the Under Secretary feels should be seen by the Deputy Secretary or other Higher Officers should be submitted to concerned Officers for approval before returning in Section for Issue the term draft is used to indicate the form of communicate drawn, up and proposed to be issued until it is approved and marked for issue either by the Officer approving it in the Section Officer.

77. **Typing:** A file after it is received with the order 'marked for issue' is passed on to the typist or stenographer for typing fair copies. The Typist / Stenographer will prepare fair copies without date and return the paper to the Assistant who will then compare then with th approved draft and submit the required number of fair copies for signature to the concerned Officer.

78. At the time of submission of fair copies, the Assistant will also obtain, instructions of the Under Secretary for translation, printing and publication of the order under issue, as the circumstances warrant and take further appropriate section accordingly after the issue of Orders.

79. **Typing Pool:** The drafts are sent to typing pool for making fair copies along with the enclosure and files, if required, in special cases, by the file movement clerk in the section, to the Head Typist in charge of the Typing pool, and acknowledgement obtained in a transit register.

80. **Distribution of work among Typists:** The Head Typist will distribute the work among Typists (including himself) as evenly as possible. The Head Typist and each Typist will maintain a work sheet in the form given in Karnataka Legislature

Secretariat Form No..... The work sheet of each Typist should be checked by the Head Typist every day and by the Under Secretary once a week. Each typist is expected to type 7100 words or 710 lines of 10 words per day. The typed words will be counted as in the schedule given Form No.....

(i) The norm of workload is mainly intended for determining staff pattern for various officers and in times of urgency or when the workload is heavy on any particular occasion the existing typists themselves have to attend to the additional work, if any;

(ii) Each typist will return to the Head Typist the work remaining unfinished at the end of each day;

(iii) The Head Typist will send the fair copies along with the drafts and the connected files, if any, to the Sections or where the typing work is done in the Sections. The Typist should hand over the file with enclosure pinned there to the Assistant concerned.

#### **81. General Instructions regarding typing:**

(i) Drafts marked 'Immediate' or 'Very Urgent' will be taken up first. The attention of the examiners will be drawn to the 'priority' marking when such drafts are passed on to them;

(ii) Fair copies of all communications will be typed in the appropriate prescribed form of suitable size. Printed forms should be used as far as available. If, however, plain paper is used, whether for the original communication or for an endorsement, the name of the Secretariat should be typed at the appropriate place. The post bag number and the delivery post office with pin code number should invariably be noted at the appropriate places.

(iii) A margin should be left on the left hand side by the front page and on the right on the reverse;

(iv) Marginal entries, unless they are very small, should be inserted in an indenture which should be demarcated by a line, or typed on the top, bottom and the side of the indenture facing the body of the communication;

(v) Fair copies should generally be typed with single spacing;

(vi) No abbreviations should be mentioned in the fair copies except where there are specific instructions given to use them;

(vii) The name of the Officer who is to sign the fair copy should be typed in brackets above his designation and also his telephone number. In demi Official letter, however the designation will not be given below the name;

(viii) Enclosure to accompany a communication, should be indicated by drawing an oblique line (/) in the margin against the paragraph in which the enclosures are referred to. The number of enclosures should be typed at the bottom on the left side of the fair copy (Enclosures Nos.)

(ix) To ensure legibility, not more than 8 copies should be taken out at any one time. When more than 16 copies are required a stencil should be out;

(x) The Typist should type his initials with the date on the left hand corner of the fair copy e.g. cs/1979.

(xi) Further detailed instruction regarding typing carbon main folding, stencil cutting etc., which should be borne in mind by the typing staff are given in Appendix-3.

82. **Comparison:** The Assistant should carefully compare the fair copies, verifying the addresses and other details with the approved draft. He should ensure that the enclosures are indicate indicated by a oblique line (/) in the margin of the fair copy against the paragraph in which they are referred to, so that the enclosures are also pinned to the fair copy and initial the fair copies in token of having compare them.

83. Submission of fair copies for signature: The Assistant will then place the air copies in the file and then send them for signature to the concerned Officer. Fair copies moving up and down should be treated as 'Immediate'.

84. On return of the fair copies, the Diarist in the Section should check whether all the fair copies have been signed by the Officer, whether enclosures have been correctly attached and that correction, if any, made by the Officer while signing are carried out in all the copies. He will then pass on the signed fair copies together with office copy / draft to the R & I section retaining the file (s) with or without draft with him. Where the draft has also been sent with fair signed copies to the R & I section for issue, he will make a note of the dispatch of the draft with fair copies for issue in the margin of the notes portion of the file, and in other cses in the margin of the draft of the file.

85. The diarist will not date the letters sent for issue, but leave the space for giving date of issue blank to be filled in by the R & I Section at the time of actual issue. In case of files and un-official references are sent to the Diarist direct to

other Sections/Departments, dates will be indicated by the Diarist at the time of issue through the dalayat.

86. Telegrams to be sent should be sent to the R & I Section, direct with three copies thereof, that section will fix the required service stamps and issue the Telegrams.

87. (i) The Section Officer should see that very important, confidential and valuable papers such as deeds, agreements and other similar documents to be sent by post are invariably sent by Registered post. For such communications, the Sections themselves will prepare the covers, seal them wherever necessary in packets and send only closed covers or packets to the R & I section for arranging dispatch;

(ii) Top secret, secret and confidential papers when sent by post must invariably be enclosed in double covers, the inner cover being marked 'Top Secret' or 'Secret' or 'Confidential' as the case may be supercribed with the name of the addressee only and sealed. Sealing should not be overdone. A few seals on each flap of the cover will suffice. The outer cover should bear only the usual officials address and the designation of the addresses.

88. It is the responsibility of the Assistants and the Section Officers incharge of Sections to make sure by personal enquires that there is no delay at any steps in the dispatch of urgent papers.

89. **Despatch:** The dispatch work is attended to in three stage.

(a) The diarist attached to the section will arrange to deliver through the dalayat, files and papers meant for Officers of the Secretariat, and obtain the Acknowledgment of the concerned. U.O. files / US Notes / U.O. Memoranda which are to be referred to other department (s) should invariably be sent by name of an officer / Section of that department and sent by the diarist direct to that Officers / section through the dalayat after making proper entries in the delivery book;

(b) The R & I sections of the secretariat will arrange to deliver through dalayats attached to it all hand-delivery tappals to be delivered to the several sections of the Secretariat and Departments of Government. Such communications need not be put into covers except when they are of a confidential nature;

(c) The R & I section will arrange for the distribution of hand delivery tappals within the limits of Bangalore City Corporation through Cycle Orderlies attached to it.

(d) The R & I section will also attend to the work of affixing postage stamps of the required value by franking machines or otherwise for all tappals to be sent by and arrange for their delivery.

90. General instructions regarding dispatch: (i) The dispatcher will make sure that the fair copies have been duly signed. He will date in ink both the fair copy and the draft / office copy on the date on which they are actually issued. If the fair copy already bear a date on which it would not issue, the date should be corrected to accord with the date of its actual dispatch. No communication issued by despatcher will be double dated. The dispatcher will also stamp the draft / office copy with a rubber stamp as per fascimle noted below and will initial (with date) in the space provided on the stamp in token of his having issued the fair copy.

issued

on -----

by -----

(ii) As far as possible, the dispatcher will send out the fair copies to the addresses on the same day. In no case, he shall detain any out going communications for more than twenty four hours without the prior permission of the Section Officer;

(iii) He will write the word 'sent' against each oblique line of the margin of the draft in token of dispatch of enclosures. When an enclosure has to be sent separately a note to that effect should be made on the communication (both fair and office copy) and the enclosures accompanied by a slip indicating the number and date of the communication to which it relates.

(iv) He will separate the communications to be delivered by hand in the Secretariat and arrange for their delivery to the addresses by obtaining acknowledgement in the Delivery Book (KLS Form No. ....)

(v) He will further ensure

- (a) that ordinarily covers are not used for communications delivered within the secretariat unless they are marked 'Secret' or 'Confidential' or are addressed to an officer by name;
- (b) that, as far as possible, all communications intended for the same addresses are placed in cover;
- (c) that covers of suitable size only are used;

(d) that economy slips are used for all covers containing non-secret communications except when the contents are bulky or then it is proposed to send the covers insured (these slips should not be used for covers addressed to members of the Legislature Private Bodies or Foreign Government) and

(e) the number and date of the communications are written on each cover

• • • • •

(vi) All covers sent by post under services postage stamps will be franked either by him or with a rubber stamp bearing the facsimile impression of the signature of the officer-in-charge of the R & I section failing which the article is liable to be over charged or withheld by the postal authority;

(vii) The contents of closed envelopes and parcels should be noted on the cover by the dispatcher;

(viii) When books, papers and enclosures of any kind are sent independently with the covering letter, they should be accompanied the slip indicating the letter with which they are connected and the letter itself should bear a note to the effect that the enclosures have been sent separately.

(ix) Papers which on account of their bulk will not go into envelopes should be securely packed in thin thick wrapping papers as they are intended for local or 'postal' delivery. In the case of parcels they may be covered by thick paper, canvass or gunny;

(x) When tins or boxes are required for the transmission of articles, they should be obtained on indent from the Executive Sections.

**91. Despatch by post:** (i) In the R & I Section communications to be delivered by hand and those to be dispatched by post will be separated. The letter will be entered in the dispatch Register. Each cover will be weighed and with the aid of the franking machine or otherwise the exact stamp will be embossed and the value also noted in the dispatch register in the prescribed column;

(ii) Telegrams should be entered in red ink and the time of dispatch noted against each entry below Sl.No. simultaneously, the serial number allotted to the Telegram in the dispatch Register should be noted at a convenient place on the receipt portion of the telegram to facilitate the tracing of the relevant receipt, if necessary;

(iii) In the case of communications sent by registered post acknowledgement due, the number and date of the communication should be written on the 'acknowledgment card' so that the card when received be sent to the sanction concerned for being kept on the relevant file.

(iv) The expenditure incurred each day on service postage stamps will be totaled up at the end the day by the Despatcher who will record the daily total in the Despatch register KLS Form No.)

(v) Receipts for telegrams and registered and insured letters etc. should be checked carefully by the Despatched. They should be filed properly and preserved for at least six months.

**92. Despatch of local Dak Hand Delivery Book:** (i) To facilitate quick delivery of papers and tracing of entries relating there to in the event of their alleged non-receipt delivery books should be numbered serially and adequate number of books allotted to each Section/Office. All communications to be dispatched should be sorted out according to their address and entered in the delivery books allotted to each addresses or group of addresses.

(ii) In respect of 'Immediate' communication the dispatcher will also note in the delivery book the time dispatch against the relevant entry;

(iii) After the dak has been delivered, the dispatcher will examine the delivery books to see that all the communications entered therein have been duly acknowledged by the addresses with their dated signature in ink.

**93. Despatch of 'Immediate' and 'Very Urgent' dak:**

(i) priority communication received for dispatch during working hour should be sent to the addressee at once but those which are not likely to reach their destination before the closing hour should be held over for dispatch on the next working day;

(ii) If a file or a communication is of such urgency that it should reach the addresses that day itself even after office hours, the officer last dealing with the file or authorizing the issue of the communication will record specific instructions to the effect. Normally no such instructions will be given except (a) under the specific directions of an officer/not below the rank of Deputy Secretary (or in his absence Under Secretary) and (b) with the prior consent of the addresses himself. In the absence of such clear instructions the dispatcher will not send any papers to the residence of an officer after office hours. Files and papers of such urgent nature will be marked or addressed to the officer concerned in the receiving section/office by name.

**94. Despatch of 'Non-priority' Dak:** Non-priority dak will be cleared at least twice a day at suitable intervals which should be so planned that the last batch of outgoing communications is normally delivered to the addresses as early as possible before the day's closing hour and towards the end of the day avoided. Communications received after the dispatch of the last batch should be held over till the next working day.

**95. Return of Drafts after issue:** (i) After issue of a fair communication, the dispatcher in the R & I sections will note 'Issued' on the draft/office copy as the case may be, and return it to the section, indicating---- on the date of issue.

(ii) The Diarist of the Section will report to the Section Officer every evening the number of drafts / office copies not received back within a day from the date they were sent to the R & I Section.

**96. Issue of Tour Programmes of Parliamentary functionaries:** The Tour Programme of all parliamentary Functionaries will be issued direct by the personal Establishments of the concerned parliamentary Functionaries for this purpose, they will indent and get the required service postage stamps from the R & I Section.

**97. Service Postage Stamps-Receipt and Custody of Stamps;**

The Under Secretary incharge of R & I Section will obtain the requirements of Service Postage stamps by placing indents on the Huzur Treasure. The Assistant in the R & I Section who is in custody of the same will maintain an account KLS Form No .....The Section Officer, R & I will verify the service postage stamp account and the balances at least once a week and append his dated signature in token of verification. Surprise checks should also be done now and then of the covers ready for dispatch by post and verified whether the stamps affixed tally with the entries in the Register.

**98. Ordinary Postage Stamps;**

Ordinary postage stamps (And not service postage stamps) should be used for official correspondence and articles sent by post to all foreign and common wealth countries. A separated dispatch register will be maintained for keeping a record of such issues and an account of the expenditure incurred thereon. The Section Officer incharge of R & I Section should inspect daily this register and also exercise a physical check on the balance of stamps available with reference to the entries made in the Register.



**99. Verification of Stamp Account:**

The stamps account registers referred to in paragraphs above will be inspected once a month by the Under Secretary incharge of the R & I Section who will verify the balance of stamps by physical count and note on the registers the result of his inspection. He will also carry out surprise checks to satisfy himself that the registers are properly maintained.

**100. Action after issued:**

The R & I Section will send the drafts / office copies after issue to the respective sections. The diarist will place the issued drafts / office copies on the respective files on his table and hand over the files the concerned Assistant.

101. When files are returned to him by the diarist after the issue of orders, the Assistant will immediately examine the files and satisfy himself that the dispatch of the concerned papers has been properly attended to the relevant enclosing sent, and that no further action is necessary or pending in the case.

102. He will note thereafter the manner of further disposal on the file viz; whether it should be

- (i) recorded and sent to the Record Room;
- (ii) recorded but retained in the Section;
- (iii) kept in suspense without recording;

and submit the file to the section officer who will indicate his decision and pass the file on the Diarist for making the necessary entries in the Section diary or the file Register. Where it is proposed to record any file under 'A' or 'B' classification, the orders of the Under Secretary may be obtained when a file is closed, final action should be noted in the last column of the File Register.

**103. Suspense and Reminder Diary:**

Suspense cases are those cases in which final Disposal has not been made and in which further action may be necessary. As soon as some preliminary action is over on a file and further action is to be taken, the Assistant (s) concerned should mark in the margin of the notes portion of the file the next date on which it should be brought forward for further action eg., 'See till 20<sup>th</sup> June, 1989' and make an entry in his Desk Diary for issue of reminders as and when necessary. The Diarist should there upon enter the number of this file in the desk diary under the appropriate date and send the file to be kept in the suspense after making

necessary movement in the file movement Register as well. Every day in the morning the Diarist will go through his Desk Diary and bring out the files marked therein to be brought out on that date and pass them on the dealing assistant concerned after scoring out the file numbers from the appropriate date in the desk diary and making the appropriate entry in the file movement Register. The following types of cases should be entered under this system;

- (a) cases which have been marked for resubmission on a particular date;
- (b) cases in which reminders are to be issued on specified dated (for brevity, after reminder is issued a note in the note sheet, the capital 'R' and date may be indicated as 'R' 20<sup>th</sup> November, 1989) and
- (c) cases which have been referred un-officially to other departments and the return of which is awaited.

Cases which are kept in the suspense rack in the expectation of a possible use in the future should be rare and such cases need not be entered in the Desk Dairy by the Diarist. The Assistant concerned will be responsible for bringing out the file as and when they are required and issue of periodical reminders. Section Officers will review all such cases for issue of reminders once a fortnight;

(ii) Where reminders issued by the Section Officers do not produce the desired result and further action is called for, Under Secretary or Higher Officers will address the officers concerned according to the importance and urgency of the subject.

## **CHAPTER X**

### **FORMS AND RULES OF CORRESPONDENCE**

#### **104. Forms of Correspondence:**

Written communications issuing from the secretariat shall be in one or the other of the following forms:-

- i) Letter;
- ii) Proceedings (Order)
- iii) Official Memorandum
- iv) Circular
- v) Demi-official letter
- vi) Un-official note
- vii) Press Communique / Note
- viii) Notification
- ix) Endorsement
- x) Telegram
- xi) Quick Mail Service; and
- xii) Telex Messages;
- xiii) Bulletins etc.,

Each one of the above forms has a use and in some instances by phraseology of its own.

Specimen of the above forms of communications are given in Appendix 4.

#### **105. Letter:**

(i) 'Letter' form is used for all formal communication to such authorities as parliament / State Legislature / Government of India, State Government or their attached or subordinate offices and such as the High Court, Public Service Commission, Lokayukta, Vice-Chancellor of Universities, Public Bodies or Associations of the Public or class of employees or Government servants. It is not to be used for correspondence between different sections of this Secretariat;

(ii) A letter is composed of the following parts;

a) Letter head bearing the name of the Secretariat, post bag No., Telephone Numbers and Address-

b) Number and date of communication;

c) Designation of the Sender;

d) Designation of the Addressee;

e) Salutation;

f) Subject;

g) Main text of the letter;

h) Subscription; and

i) Signature and designation of sender

iii) Official letters emanating from this Secretariat and purporting to convey the views or order of the Board / Special Board must specifically be expressed to have been written under direction of Board / Special Board. In case of letters by means of which formal sanction of Board / Special Board is sought to be communicated of issue it is necessary to invoke the authority of the Board / Special Board by prefixing the words Board / Special Board. 'Governor' is pleased to sanction / authorize / approve etc., to the main text or contents of the sanction.

iv) Letters addressed to official authorities should begin with the salutation 'Sir' and those addressed non-official individuals or groups of individuals with 'Dear Sir / Sirs' those addressed to firms should be with the salutation 'Dear Sirs' or 'Gentlemen' All office letters should terminate with the subscription 'Yours faithfully' followed by the signature and designation of the person.

(v) Ordinarily, the letter to the Government of India, is addressed to the Secretary of the appropriate Ministry and if the Ministry has divisions or Departments under it, the name of the Division or Department is also written below the name of the Ministry's. In the case of other State Governments the letter is addressed to the Secretary of the Department concerned or to the Chief Secretary, if the name of the Department is not known. Generally letters to the Parliament / State Legislature / Government of India or other State Governments are to be signed by Officers of the Rank of Under Secretary and above, depending upon the importance of the Communication.

vi) The subject at wherever necessary should be indicated clearly in suitable words, which will be in the nature of an index to the contents, and references to

previous communication may also be cited after the subject, and before the main text of the letter.

106. **Proceedings:** (i) Decisions of Board / Special Board or Orders of general applicability on question of policy or other important matters should be communicated issued or promulgated in the form of 'proceedings', The form of proceedings shall be used in the following cases;-

- (a) communication containing financial sanction;
- (b) disciplinary proceedings involving imposition of a penalty on a officer / official of the secretaries;
- (c) Orders of decision of general applicability on important questions of policy and
- (d) any other decision of Board / Special Board considered sufficiently important to Warrant such form of communication.

The proceedings shall always be drafted in the third person.

- (ii) Procedure generally consist of-
  - (a) letter has bearing the name of the secretariat
  - (b) subject matter of the order in suitable words which will be in the nature of an index to the contents of the order;
  - (c) 'Read' portion giving the number and date of several previous orders or communications which have been taken into account in formulating the present decision;
  - (d) 'preamble' portion referring to the circumstances or requirements or reasons which have actuated the formation of the proposal;
  - (e) number and date of the order;
  - (f) the order portion which is the most significant part of the proceedings should be self explanatory and should clearly indicate the final decision of Board/ Special Board precise and unambiguous terms so that it should not be necessary to make a reference to the introductory preamble to know the importance of the order;
  - (g) the signature of the officer authorized to issue the order along with his name and designation, which shall be in the following form;

"By order and in the name of the Board /

Special Board / Government of Karnataka “,

(NAME)

Designation of the Officer

authorized to sign.

h) the officers or the persons to whom copies of the proceedings are to be distributed.

Illustrative forms of proceedings or order are given at Appendix XIII.

(iii) Where an order is to be issued under any Article of the Constitution or under any enactment which provides expressly that an order or an instrument shall be made by the Governor, the expression ‘Government of Karnataka’ should be used in the body of the Order or Instrument, as the case may be.

(iv) Where an Order is to be issued under any enactment which provides for the making of an order or instrument by the expression ‘the Government of Karnataka’ should be used in the body of the order or the Instrument, as the case may be.

107. **Official Memorandum:** This form is used for correspondence between the sections of the Secretariat or between the Secretariat and a Government Department. This is written in the third person and bears no salutation or subscription except the signature, and designation of the officer signing it. The designation of the addressee is indicated below the signature on the left side of the page.

108. Circular: The circular differs from the ordinary letter or memorandum in that it is addressed to several sections or persons simultaneously. The circular ‘FORM’ should be used whenever the substance of the communication does not warrant the formality of the proceedings form or the letter form.

109. Demi-official letter: (i) This form is used in correspondence between the officers of Secretariat and Government Officers for an inter-change of communication of opinion or information without the formality of the prescribed procedure and also when it is desired that a matter should receive the personal attention of the personal notice of an officer a case in which action has been delayed and official reminders have failed to elicit a suitable reply.

In certain cases communication addressed to non-officials may also be in the form of demi-official letters.

(ii) A demi-official communication is addressed personally to an officer by name. It is written in the first person singular in a personnel tone with the salutation ' My dear ----- ' or 'Dear -----' and terminating with 'Yours sincerely' it is signed by the officer without mentioning his designation.

(iii) The following form of communication may be used by the private Secretaries / P.A's to parliamentary functionaries with the Deputy Commissioners of Districts, Heads of Departments, etc., regarding the tour programmes of parliamentary functionaries.

Dear Sir,

I am directed by the -----

Yours faithfully,

PS / PA to -----

Sri -----

Deputy Commissioner / Heads of Department, etc.,

110. Un-official Note: (Un-official references can be made in two different ways, namely:-

(a) by sending the file itself to the department / office with a note recorded thereon; or

(b) by sending a self-contained note or memorandum;

ii) This method is generally employed in the Secretariat for obtaining the views, comments, etc., of other secretariat departments on a proposal, obtaining a clarification, etc., of the existing instructions of requisitioning papers of information etc., No salutation or complimentary closing words are used in this form use of formed letters for communication between secretariat and Government Department is to be avoided.

(iii) As a rule Secretariat file should not be sent out side the Secretariat. In exceptional cases where communication by means of a self contained note of

Memorandum is likely to involve good deal of labour and time, the file with the recorded note may be referred to the head of the Department of Government unless it is not considered desirable to disclose the contents or trend of the noting on the Secretariat files;

(iv) Whenever files relating to transaction which are subject to audit are required by the Accountant General they may be made available to him, irrespective of whether they are current or closed unless there are special reasons for refusing them;

(v) When a demand for any document is received from the Accountant General, the two points to be examined are-

(a) Whether the document asked for relates to transactions which are subject to audit; and

(b) whether the contents of the documents are so secret in nature that it is not in the public interest to send those papers to the Accountant General.

In the latter event, a statement of facts certified as correct will have to be furnished to audit.

111. Press Communique or Press Note: A press communique or press Note is issued when it is sought to give wide publicity to the decision of Secretariat. Press communiqué is more formal in character than press note and will be reproduced in fact by the press. Press note on the other hand is intended to serve as hand out to the press, which they may edit, compress or enlarge as they may choose.

112. Notification: Notifications are used for publishing rules and order passed under legal enactments, for making announcements about appointments, postings, transfers, grant of leave etc., of Gazetted Officers and publishing any matter required to be published in the Gazette under provisions of any law or order of Board /Special Board/Governor.

113. Endorsement: (i) This form is made use of when a paper is returned in original to the sender or is referred to another department or to an attached or subordinate Officer (either in original or by sending a copy thereof) for information, remarks or disposal, or where a copy of communication is to be forwarded to others in addition to the original address. In the last case the endorsements may take one or other of the following terms-



“A copy (with a copy of the letter to which it is a reply) is forwarded to ----- for information and guidance / for necessary action / for favour of reply / for early compliance ”.

(ii) Copies of financial sanctions issued by the Secretariat where required to be communicated to Audit authorities area also sent by means of an endorsement;

(iii) This form should not, however be used in communicating copies to parliament / State Legislature / Central or other State Government, which should generally be done in the form of a letter.

114. **Telegram:** A “Telegram” should be used only on occasions of urgency and should be concise. Clarity should not be sacrificed for brevity. No telegram should be sent, where Q.H.S. can serve the purpose;

115. **Quick Mail Service: (QMS) :** QMS introduced by the posts and Telegraphs Department in Bangalore City and other important places, can be made use of to the fullest advantage for transmission of matters which require attention on the next day only when offices open. This would normally meet the degree of urgency required and will be much more economical.

116. **Telex Message:** To facilitate direct communications to the Government of India and other Telex subscribers in various states, telex system may be availed of in preference to the other modes of communication like Telegrams or Trunk Calls, Telex Messages should be worded briefly and precisely in the same manner as in the case of telegrams. The messages should be typed in Capital letters in double line space. In urgent and important matter secretariat may send telex messages under the signature of the Officer who is authorized to issue telegram, to Home Department for communication to out Station parties.

117. **Communication to Parliament State Legislature’s Government of india and other State Governments:** All communications to parliament, State Legislatures, Government of India and other State Governments except these of a purely routine nature and those furnishing factual data of a non-confidential and non-controversial nature should ordinarily issue under the orders of an officer not below the rank of Deputy Secretary. Communications of a purely routine nature such as furnishing factual information of non-confidential and non-controversial nature, acknowledgements, routine reminders and forwarding memorands may be signed by the Under Secretaries.

118. **Forms and correspondence between officers and the parliamentary functionaries / ministers :**

(i) officers should not write DO letters to Ministers. If at any time, an officer is required to bring to the notice of a Minister certain matters (with reference to his instructions etc.) he can do so by addressing a communication to the private secretary to the parliamentary Functionaries / Minister concerned.

**119. Forms and Correspondence between private Secretaries to Parliamentary Functionaries and Secretariat Officers :**

(i) In the normal course, all important instructions / orders such as for re-examination of case, calling for reports or for taking action on certain lines etc., intended for the Secretary should be in the form of 'Minute' signed by the Parliamentary Functionary.

(ii) In cases where the Parliamentary Functionary has given certain instruction to his private secretary for conveying them to the Secretary or any other Officer of the Secretariat, the Private Secretary may convey them through a note which should clearly indicate that he is conveying the said instructions as desired by the Parliamentary Functionary or at least indicating that these are the instructions of the Parliamentary Functionaries. After issue of the note to the Secretary, the papers may be submitted to the Parliamentary Functionaries for his perusal;

(iii) In routine cases, such as petitions present to the Parliamentary Functionaries where no specific directions are given by the parliamentary functionaries private secretaries may send them to the concerned authorities for disposal.

(iv) The correspondence portion of a file shall contain all communications received from outside and all communications issued on the file including Demi-Official Letters, Letters, Office Memorands, Memoranda, received from their Secretariat Department. Every communication, whether receipt or issue, together with its enclosures kept in the 'Correspondence' will be given a serial number in red ink in the centre of the top of its first page. The first communication will be marked 'Serial No.1' and the subsequent ones will bear consecutive serial number in a single series.

**120. Page numberings:** Every page in the 'Notes' portion of the file will be numbered consecutively from top to bottom as in a book. The page numbers will be given on note sheets at the top corner opposite to the tag and blank intervening pages, if any, should not be numbered, but a line should be drawn diagonally from one corner to another of the blank space. All papers placed on the correspondence portion of the file will be assigned consecutive page numbers in a single series

beginning from the first sheet at the bottom which will bear page number 1. Thus the consecutive page number assigned to a receipt consisting of a number of pages will be different from its original page numbers. Whenever a clean copy of the draft issued is given a serial number, the corrected copy of the draft which is retained in the correspondence portion need not be given any separate serial number, but may be given appropriate page number (s). Enclosures which have to be returned or forwarded to another authority shall be removed from the file at the time of issue and a slip as indicated below introduced in its place.

Pages ----- to ----- Encl ----- to Sl.No. ----- or  
letter / memo No ----- dated ----- from ----- regarding -----  
removed and forwarded to ----- on ----- date vide Sl.No. -----  
----- (or endorsement No ----- dated -----)  
date ----- signature -----

121. **Punching of papers:** All papers shall be neatly punched at the left-hand top corner to the correct gauge (of an inch from either side) before it is tagged to the correspondence or notes portion of the file and not pricked through. No pins should be used to joint the papers and all pins should be removed.

122. **Appendix to Notes or Correspondence:** If the inclusion of any detailed information in the 'Notes' is likely to obscure the main points at issue or make the note unnecessarily long, such information or details will be incorporated in a separate and self contained summary or a statement which will be placed in a separate cover called 'Appendix to Notes'. Similarly if enclosures to a communication received or issued consist of a large mass of material, such papers should be placed in a separate cover called 'Appendix to correspondence'.

123. **Parts:** When the 'Note' or 'Correspondence' portion of a file becomes bulky (say exceeds about 100 pages on any sides). The file should be stitched and marked 'Volume I' and 'Notes' portion by means of a separate slip or a half sheet prominently marked 'Correspondence'.

124. **Opening of a new file:** A new file should be opened as soon as a fresh receipt is received by the section, which cannot be dealt with on an existing file. The dealing assistant concerned will, in the first instance, give a suitable 'title' to the file proposed to be opened with the approval of the Section Officer. In opening a new file, he will bear in mind the instructions contained in para 179 regarding 'title, after giving a suitable Title' to the file the dealing Assistant will get the requisite file number allotted to it in the 'File Register'. He will give the allotted file number on the cover of the file at the appropriate space provided for it. He will also give the

name of the department, section, year and the subject matter (title) of the file on the file cover in the space allotted for the purpose either typewritten or written in ink. The fresh receipt will then be placed on the correspondence portion of the file serial numbered and page-numbered. It will then be docketed on the 'Notes' portion of the file. The subject matter in brief as also the file number should invariably be written or on the top of each note sheet in a file or when separate note are submitted.

125. **Docketing:** (i) Docketing is the process of recording on the Note Sheet of the fact of the receipt or issue of a communication into or from the department and shall consist such relevant particulars as the serial number given to the communication, the number and date of the letter, the name, address of the person, agency or authority from who it is issued (e.g. Sl.No. 1 receipt) No. E-1200/ 68-69/PSC, dated March, 1969, from the Secretary, Karnataka Public Service Commission. Sl.No. 2 (Issue) dated 10<sup>th</sup> March 1966, to the Secretary, Karnataka Public Service Commission, while docketing the necessary particulars should be entered in red ink across the page starting from the margin;

(ii) Immediately a paper is received which is to form of the correspondence portion of the file, the paper should be assigned a serial number which should be written at the centre of the top of the page;

(iii) Similarly out-going communications or letters will be give serial numbers;

(iv) Both 'Receipt' and 'Issue' will bear consecutive serial number.

126. Notes should be written on note sheets provided for the purpose. If a note sheet is not readily available a plain paper may be used but the note will be recorded well beyond a clear margin of one inch. Atleast an inch of space should invariable be spread at the bottom of the note sheet and the noting continued on the next page so that enough space is available for passing orders by authorities concerned. In files should be submitted without allowing space as stipulated above.

127. To ensure neatness in the maintenance of file and iding quick detection of delays docket sheets with appropriate columns should be used. The docket sheets are to be placed between the top jacket of the file and the first note sheet. All receipts and movement of file should be noted by means of seals of the sections or of the Officers concerned in the columns provided for the purpose i.e., the first column under the heading "number and date" similarly all routine instructions such as "please speak", "please discuss", etc., should be noted in columns. The practice of giving such instructions on the note sheet or by means of slips of paper pinned to the Note sheet should be avoided.

128. When a file is referred to another department, that department should, before it starts nothing, write across the note sheet, immediately below the last note the name of that department and the section which records the note e.g., "Food and Forest Department".....Section.

129. Routine notes exchanged between persons in a section or between officers of a department, rough work sheet statements, etc., should not form part of the notes or correspondence portion of the file, but may, if required for reference in near future, kept fouled below the file jacket on file board. Similarly when the enclosures received with a communication consist of bulky material, pamphlets, brochures, statements, etc., such material should not be filed with the correspondence portion, but kept in the file pad below the file jacket with a suitable indication of the particular communication of which it forms an enclosure.

130. Every file shall be given a file number. This file number shall consist of four parts:

(i) two or more letters indicating the department to which the file pertains e.g., DPAR, AAH, HFW, RD etc.,

(ii) a group of three letters indicating the subject hear;

(iii) serial number of the file number the subject

(iv) the last two digits of the calendar year, s.g. 78, 79, 80 etc.,

131. The object of maintaining the file in the Secretary is to arrange and allocate the numerous communications received in the secretariat to a number of small self-contained compartments or jacket meant for different subjects. It follows that the reply to a communication will be also be placed on the same file. A fresh receipt will be included in a current file containing earlier related communications or receipts on the same subject.

132. In each department a number of subject heads each containing consisting of a group of three distinct letters which will, by themselves give an indication of the subject matter shall be prepared i.e., the subjects allocated to each department will be broken into small units to be identified by a symbol of three letters. The number of such subject head may be so may as desired, But roughly it should be prepared on the basis that the number of file under a subject head to do opened in a year should a year should be less than 30 and not normally exceed about a hundred. Subject heads once approved will continue from year to year and new subject heads may be added from time to time with approval of Under Secretary. (Administration) who may be nominated for the purpose in order to ensure that the

same group of three letters are not adopted by different sections. There may be no serious objection in the same group of three letters are not adopted by different sanctions, as each file number is preceded by identifying letters of the section, it is imperative to avoid confusion, so that the same trilliteral is not used for more than one subject. The desirability of this suggestion will be appreciated, when it is realized that subjects are likely to be transferred from one section to another. Besides, if for the same subject, different trilliterals are used for different periods in the section where they are being dealt with the General Records section will feel much difficulty in locating the previous collections.

133. Separate file for each distinct subject: There should be a separate file for each distinct subject. If the scope of the subject of a file is very general and compressive in nature, there will be a tendency to put into the file indiscriminately receipts dealing with different aspects of the matter. This will not only make the file bulky but also militate against speedy and efficient disposal if the issues raised in a receipt in a receipt or in the notes or in the orders passed therein extend beyond the original subject, relevant extracts should be taken and dealt with separately on new files.

134. Subject matters pertaining to more than one file heading: Where a communication received contains matters pertaining to several files relevant extracts shall be made and placed in the appropriate files.

No file should be opened in respect of a receipt of ephemeral or general nature, e.g., applications for casual leave, tour programmes of ministers, etc., reference to such receipts will be by diary numbers or by their subjects. In this connection the instructions contained in para 62 shall be borne in mind.

135. Part File: (1) Use of 'Part Files' should be avoided as far as possible. A part file may be opened only when the main file is not likely to be available for some time or when it is desired to consult simultaneously other sections or officers and it is necessary for them to see the 'paper under disposal' and other connected papers.

(ii) A part file will normally consist of-

(a) The Original 'Paper under Disposal' or its copy and other essential papers on the 'Correspondence' portion;

(b) the note or notes recorded or to be recorded on the proposal contained in the 'paper under Disposal' or a copy thereof on the 'Notes' portion.

(iii) A part file should be incorporated with the main file as soon as the latter becomes available. The note position should be incorporated with the notes at the

appropriate placed of at the end of the last nothing and the correspondences with the correspondence portion. The 'Notes' and 'Correspondence' added to the main file should be suitably renumbered.

(iv) When more than one part file is opened, each one of them should be given a distinct number thus HD 54 PUS (part file) HD 54 PUB (Part file II) 78.

136. File Registers: A record of files opened during a calender year will be kept in a file Register in KLS Form No. 10. As soon as a new file is opened the Assistant will inform the file Register Clerk of the subject matter, the file hearding and the diary number of the Fresh receipt. The file Register Clerk will assign the next serial number and will enter the details in the File Register at the appropriate place. The number assigning will be noted only on the file cover.

137. File Movement: (i) All movements of a file will be entered in the File Movement Register (KLS Form No. -----) at the appropriate place. All files will be routed through the 'File Movement Clerk who will record movement of each file in the chronological order one below the other in the appropriate columns of the Register.

(ii) Movement of papers for which no files are opened and which are therefore dealt with under diary number and movement of files and papers of other departments / sections which will got back to the originating department / section will be noted in the column 8 of the Section Diary.

(iii) File should move directly from the D.S. upwards without coming back to the sections concerned for noting their movements such movements should be noted by the Personal Assistant / Stenographer who maintain the Register (KLS From No 4) for movements of files. They will send daily on extract of this Register to the section for noting the movement of files in the file Register of Section Diary as the case may be.

138. **Filling of Official, demi-official and un-official communications and drafts:** (i) Official and Demi-official Communications will be included in the 'Correspondence' portion of a file.

(ii) U.O. Communications: Self-contained in U.O. reference and replies there to should be included in the correspondence portion of the file.

(iii) The draft for approval put up with a file should be placed above the correspondence and tagged.

(iv) Drafts submitted for orders should form part of the permanent record and be preserved on the correspondence portion. If the signed draft is heavily corrected, a clear copy of the final draft as issued may, however, be added to the correspondence portion. In such cases, a serial number should be given only to the draft as finally issued.

### **139. Referencing and Use of Align:**

(i) Referencing is the process of putting up and referring to connected records, precedents, rules, regulations, books or an other paper having bearing on case, such papers will be tagged with alphabetical slips to facilitate their identification.

(ii) The slips will be primed nestly on the inside of the page. Then a number of files or papers on the case are to be fagged, the slips should be spread over the whole width of the file so that every slip is easily bisible.

(iii) The slip "PUD" should be attached to the paper the disposal of which is the subject matter of the file. The latest communication which is to be considered in relation to the subject should be fagged 'Fresh receipt'.

(iv) (a) No slip other than "PUD" or "FR" or "DF" will be attached to any paper on a current file. When it is desire to invite a reference to certain papers in the correspondence portion of the file, both the serial number and its corresponding page number should invariably be quoted in the "Notes" portion (e.g., serial No. 6/p4 etc.)

(b) Notes will be referred to be their para numbers concurrently reference to the page of the Note portion of the file on which the Note is recorded could also be given if necessary e.g. para 4 page 1/notes.

(v) Not more than one alphabetical slips should be attached to a recorded file or paper put up for reference.

(vi) It should be remembered that the slips are merely temporarily convenience for the quick identification of papers and have to be removed as soon as they have served their purpose. To facilitate the identification of reference after the removal of slips, it is necessary that the number of the file referred to should be quoted in the body of the note and the number of the relevant page together with the letter of the slip attached thereto indicated in the margin thus.

In the body of note. In the margin of note. E.O. DPAR 54 ATS 75/Flag G.P-5/ Notes. Similarly a description of the Rules, Regulations, Acts, etc., together



with the number of the relevant paragraphs or clause referred to will always be quoted in the body of the note while in the margin will be indicated the alphabetical letters of the slips and the page number.

(vii) Books or Rules etc., to which reference is made in the file be placed on a file, if copies thereof are available with the Officer to whom a case is submitted a brief mention to this effect being made in the margin of the notes in pencil. When, however, books / Rules are required to be put up with files, such publications should be placed on top of the flaps of the file board covering the file and then bound neatly and strongly by means of the string attached to the file board in a bow-tie.

140. **Linking of Files:** (i) Linking of files on which action is in progress will, as far as possible be avoided. As a general rule 'linking' will be resorted to only when the files are inter-connected and orders have to be passed on them, simultaneously. If any papers on a current file are required for reference only in connection with the disposal of another current case relevant extracts should be taken from the former and placed on the latter.

(ii) When files are linked, strings of the file board of the lower file but not its flaps will be tied round the upper file. The strings of the file board of the upper file will be tied underneath it in a way out of the way. Each file will thus be intact with all its papers properly arranged on its file board.

141. **Arrangements of papers for submission of a case:** a case consists of current file and any other files and papers, books etc., put up for reference. The papers on a case will be placed in the following order from top down wards;

- (i) 'Notes' ending with the note for consideration;
- (ii) 'Correspondence' containing the "PUD" and "FR" if any, and the draft for approval.
- (iii) standing guard files.
- (iv) Other papers referred to e.g. extracts from note or correspondence of other files, resolutions, gazettes, etc., arranged in chronological order, the latest being placed on top.
- (v) Recorded files arranged in chronological order, the latest being placed on the top.
- (vi) Routine notes or papers placed in a cover in a chronological order.

142. While submitting the file to Officers it should be placed on a file board and sent in with its cover closed, a book mark being inserted and the particular page where the latest note or minute has been recorded for submission or perusal or orders of appropriate authority.

143. **Priority makings on files:** The following kinds of Priority Markings only should be used in the Secretariat Departments:

(i) The two prescribed priority markings to be used on files and papers are 'Immediate' and 'Priority'.

(ii) The liable 'Immediate' should be used only in case of extraordinary urgency requiring instant attention and not merely attract the attention of an Officer to a party which it is desired should not be overlooked.

(iii) The liable 'Priority' should be used on papers which should be given precedence over others of ordinary nature to which no priority labels have been attached, Legislative Assembly or Legislative Council Questions, resolutions, Assurances, etc., and also papers connected with the preparation and submission of Budget Estimates, will be assigned suitable priority marking. In order to ensure that the files relating to Legislative matters are handled on Top Priority basis coloured slips. LA/LC questions and other priority labels should be invariably attached to files relating to Legislative matters.

(iv) In addition, the following labels may be used to draw instantaneous attention to files and papers of particular type.

Top Secret

Secret

Confidential

PUD – Paper Under Disposal

DFA – Draft for Approval

FR – Fresh Receipt.

Different columns may be used for different kinds of slips. Priority labels should be used carefully and with discrimination removed at proper stage by the Section Officers.

## **CHAPTER XI**

### **ARRANGEMENT AND MAINTENANCE OF FILES**

144. (i) Arrangement of papers in a file all current papers on a case in the sections of Legislature Secretariat shall be arranged in current files. Every file will consist of two parts viz., (a) Notes and (b) Correspondence placed in a single jacket. The Notes portion will be tagged on to the left hand side of the jacket and the Correspondence portion to the right hand side of the jacket. Both Notes and Correspondence' will be filed from bottom upwards, chronologically so that on opening the file, the latest note and communication are on the top left and top right respectively.

(ii) The Notes portion of a file shall consist of all noting one by the officials and officers concerned and the Presiding Officers. All paragraphs in the nothing shall be numbered continuously in ink, provide that, if the notings by each official/officer consists of more than one paragraph they shall be given sub-numbers. Signature and initials appended by the officers or Presiding Officers need not be given any number. The note recorded by Presiding Officers will be termed and referred to as 'Minutes'.

(iii) The 'Correspondence' portion of a file shall contain all communications receive from outside and all communications issued on the file including Semi-official letters, Letters, Office Memoranda, Memoranda received from others. Every communication, whether receipt or issue, together with its enclosure kept in the 'Correspondence', will be given a serial number in red ink in the centre of the top of its first page. The first communication will be marked 'Serial No.1' and the subsequent ones will be consecutive serial number in a single series.

### **PAGE NUMBERING**

145. Every page in the Notes portion of the file will be numbered consecutively from top to bottom as in a book. The page numbers will be given on Note Sheets at the top corner opposite the tag end. Blank intervening pages, if any, should not be numbered, but a line should be drawn diagonally from one corner to another in the blank space. All papers placed on the correspondence portion of the file will be assigned consecutive page numbers in a single series, beginning from the first sheet at the bottom which will bear page number-2. Thus the consecutive page numbers. Whenever a clean copy of the draft is retained in the 'Correspondence' portion it need not be given any separate serial number, but may be given appropriate page number (s). Enclosures which have to be returned forwarded to

another authority shall be removed from the file at the time of issue and a slip as indicated below introduced in its place:

Pages ----- to ----- Encl ----- to  
Sl.No. ----- or Letter /Memo of -----  
dated ----- from ----- regarding ----  
----- removed and forwarded to ----- on  
----- date ----- vide Sl. No. -----  
(or endorsement No.----- dated -----)  
date ----- Signature -----

### **PUNCHING OF PAPERS**

146. All papers shall be neatly punched at the left hand top corner to the correct guage (half an inch from either side) before it is tagged to the correspondence on notes portion of the file and not pricked through. No pin should be used to join the papers and all pins should be removed.

### **APPENDIX TO NOTES & CORRESPONDENCE**

147. If the inclusion of any detailed information in the 'Notes' is likely to obscure the main points at issue or make the note unnecessarily long, such information or details as will be incorporated in a separate and self-contained summary or a statement which will be place in a separate cover called 'Appendix to Notes'. Similarly, if enclosures to a communication received or issued consist of a large mass of material such papers should be placed in a separate cover called 'Appendix to correspondences'.

### **PARTS:**

148. When the 'Notes' or 'Correspondence' portion of a file becomes bulky (say exceeds about 100 pages on any side) the file should be stitched and marked 'Volume-I', the 'Notes' portion of the file being separated from the 'Correspondence' portion by means of a separate slip or a half sheet prominently marked 'Correspondence'.

### **OPENING OF A NEW FILE:**

149. A new file should be opened as soon as a fresh receipt is received by the section, which cannot be dealt with on existing file. The dealing Assistant concerned will, in the first instance, give a suitable 'title' to the file proposed to be opened with the approval of the Section Officer. In opening a new file, he will bear in mind the instructions (vide Appendix-II) regarding ('Tital'. After giving a suitable

'Title' to the file, the dealing Assistant will get the requisite file number allotted to it in the 'File Register'. He will give the allotted file number on the cover of the file at the appropriate space provided for it. He will also give the name of the section, year and the subject matter (title) of the file on the file cover in the space allotted for the purpose either type-written or written in ink. The fresh receipt will then be placed on the correspondence portion of the file, serial numbered and page numbered. It will then be docketed on the 'Notes' portion of the file. The subject matter in brief as also the file number should invariably be written or typewritten on the top of each note sheet in a file or when separate notes are submitted.

### **Docketing:**

150. (i) Docketing is the process of recording on the Note Sheet of the receipt or issue of a communication into or from the section and shall consist of such relevant particulars as the serial number given to the communication, the number and date of the letter, the name and address of the person, agency or authority from whom it is received or to whom it is issued e.g., Sl.No. 1 (receipt) No. E.230 /87-88 LPA dated 1<sup>st</sup> March 1987 from the Secretary, Department of Law and Parliamentary Affairs, Sl.No. 2 (Issue) dated 10<sup>th</sup> March 1987 to the Secretary, Department of law and Parliamentary Affairs. While docketing the necessary particulars should be entered in red ink across the page starting from the margin.

(ii) Immediately a paper is received which is to form part of the correspondence portion of the file, the paper should be assigned a serial number which should be written at the centre of the top of the page.

(iii) Similarly out-going communications or letters will be given serial numbers.

(iv) Both 'Receipt' and 'Issues' will bear consecutive serial numbers.

151. Notes should be written on note sheets provided for the purpose. If a note sheet is not readily available, a plain paper may be used but the note will be recorded well beyond a clear margin of one inch. At least an inch of space should invariably be spread at the bottom of the note sheet and the note continued on the next page so that enough space is available for passing orders by authorities concerned. In no case, files should be submitted, without allowing space as stipulated above.

152. To ensure neatness in the maintenance of files and aiding quick detection of delays Docket Sheets with appropriate columns should be used. The docket sheets are to be placed between the top jacket of the file and the first note sheet. All

receipts and movement of file should be noted by means of seals of the sections or of the Officers concerned in the columns provided for the purpose i.e., the first column under the heading "Number and Date" similarly all routine instructions such as "Please Speak". "Please discuss" etc., should be noted under column 3. The practice of giving such instructions on the note sheet or by means of slips of paper pinned to the note sheet should be avoided.

153. When a file is referred to another section, that section should, before it starts noting, write across the note sheet, immediately below the last note the name of that section which records the note e.g.,

“ ----- ”

154. Routine notes exchanged between persons in a section or between Officers of a section, rough work sheet statements, etc., should not form part of the notes or correspondence portion of the file, but may, if required for reference in near future, kept folded below the file jacket of the file board. Similarly, when the enclosures received with a communication consist of bulky material, pamphlets, brochures, statements, etc., such material should not be filed with the correspondence portion, but kept in the file pad below the file jacket with a suitable indication of the particular communication of which it forms an enclosure.

155. Every file shall be given a file number. This file number shall consist of four parts.

(i) Letters indicating the section to which the file pertains e.g., Legislation, Questions, Public accounts committee etc.,

(ii) a group of letters indicating the subject head.

(iii) serial number of the file under the subject head.

(iv) the last two digits of the calendar year e.g., 87, 88, 89 etc.,

Thus LGAPE 87 means the First File initiated in Legislation Section under the head PE (Presidential Election) opened during the year 1987.

156. The object of maintaining the file in the secretariat is to arrange and allocate the numerous communications received in the Secretariat to a number of small self-contained compartments or jacket meant for different subject. It follows that the reply to a communication will also be placed on the same file. Containing earlier related communications or receipts on the same subject.

157. In each section a number of subject heads each consisting of a group of distinct letters which will, by themselves give an indication of the subject matter shall be prepared, i.e., the subjects allocated to each section will be broken in to

smaller units to be identified by the symbol of letters. Subject heads once approved will continue from year to year and new subject heads may be added from time to time with the approval of the Under Secretary concerned in consultation with the Under Secretary incharge of administration who may be nominated for the purpose in order to ensure that the same group of letters are not adopted by different sections.

158. A list of abbreviations (Index Letters) for use by different sections in the Legislature Secretariat is indicated in Appendix.

159. A list of subject index letters for different subjects dealt with by each section of Legislature Secretariat to be allotted on the respective files is indicated in Appendix.

**SEPARATE FILE FOR EACH DISTINCT SUBJECT:**

160. There should be a separate file for each distinct subject. If the scope of the subject of a file is very general and comprehensive in nature, there will be a tendency to put into the file indiscriminately receipts dealing with different aspects of the matter. This will not only make the file bulky but also militate against speedy efficient disposal. If the issue raised in a receipt or in the notes or in the orders passed there is extend beyond the original subject, relevant extracts should be taken and dealt with separately on new files.

161. Subject matter pertaining to more than one file beading where a communication received contains matters pertaining to several files, relevant extracts shall be made and placed in the proper files.

162. No file should be opened in respect of receipt on an ephemeral nature e.g., applications for casual leave, tour programmes of Committees, Presiding Officers, etc., reference to such receipts, will be by diary numbers or by their subject. In this connection the instructions (vide Appendix shall be borne in mind.

**Part File:**

163. (i) Use of 'Part Files' should be avoided as far as possible. A part file may be opened only when the main file is not likely to be available for sometime or when it is desired to consult simultaneously other sections or Officers and it is necessary for them to see the 'paper under disposal' and other connected papers.

(ii) A part file will normally consist of;-

(a) the original 'paper under Disposal' or its copy and other essential papers on the 'Correspondence' Portion; and

(b) the note or notes recorded or to be recorded on the proposal contained in the 'Paper under Disposal' or a copy thereof on the 'Notes' portion.

(iii) A part file should be incorporated with the main file as soon as the later becomes available. The Note portion should be incorporated with the notes at the appropriate place or at the end of the last noting and the correspondence with the correspondence portion. The 'Notes' and 'Correspondence' added to the main file should be suitable renumbered.

(iv) When more than one part file is opened, each one of them should be given a distinct number, thus: LGA 54 BLA (part file) 87, LGA 4 BLA (part file II) 87 etc.

### **FILE REGISTERS:**

164. A record of files so opened during a calendar year will be kept in a File Register, in form No. 3. As soon as a new file is opened the Assistant will inform the official maintaining File Register of the Subject matter, the file heading and the diary number of the fresh receipt. The Official maintaining File Register will assign the next serial number and will enter the details in the File Register at the appropriate place. The number assigned will be noted only on the file cover.

### **FILE MOVEMENT**

165. (i) All movement of a file will be entered in the File Movement Register in Form No. 4, at the appropriate place. All files will be routed through the official maintaining File movement Register who will record each movement of a file in the chronological order, one below the other in the appropriate columns of the Register.

(ii) Movement of papers for which on files are opened and which are therefore dealt with under diary number and movement of files and papers of other sections which will go back to the originating section will be noted in column 8 of the section Diary (For. No. 2)

(iii) Files should move directly from the Deputy Secretary upwards with outcoming back to the sections concerned for noting their movements, Such movements should be noted by the personal Assistant who maintains the Register in Form No.5, for movements of files and will send daily in extract of this Register to the concerned section for noting the movement of files in the File Register or Section Diary, is the case may be.



166. Filing of Official, Demi-official and Un-official communications and drafts:-

(i) Official and Demi-official communications will be included in the 'Correspondence' portion of a file.

(ii) U.O. Communications, Self-Contained U.O. references and replies thereto should be included in the correspondence portion of the file.

(iii) The draft for approval put up with a file should be placed above the correspondence and tagged.

(iv) Drafts submitted for orders should form part of the permanent record and be preserved on the correspondence portion. If the signed draft is heavily corrected, clear copy of the final draft as issued may, however, be added to the correspondence portion. In such cases, a serial number should be given only to the draft as finally issued.

#### **REFERENCE AND USE OF SLIPS:**

167. (i) Referencing is the process of putting up and referring to connected records, precedents, rules, regulation, books or any other paper having a bearing on a case. Such papers will be flagged with alphabetical slip to facilitate their identification.

(ii) The slip will be pinned neatly on the inside of the page. When a number of files or papers on the case are to be flagged, the slips should be spread over the whole width of the file so that every slip is easily visible.

(iii) The slip of "P.U.D." should be attached to the paper the disposal of which is the subject matter of the file. The latest communications which is to be considered in relation to the subject should be flagged 'Fresh Receipt'.

(iv) (a) No slip other than "PUD" or "FR" or "DFA" will be attached to any paper on a current file. When it is desired to invite a reference to certain papers in the 'Correspondence' portion of the file, both the serial number and its corresponding page number should invariably be quoted in the 'Notes' portion (e.g., Serial No. 6/0.8 etc.)

(b) Notes will be referred to by their para numbers. Concurrently a reference to the page of the note portion of the file on which the Note is recorded could also be given, if necessary, e.g., para 4 page 1/notes.

(v) Not more than one alphabetical slips should be attached to a recorded file or paper put up for reference.

(vi) It should be remembered that the slips are merely temporary convenience for the quick identification of papers and have to be removed as soon as they have served their purpose. To facilitate, the identification of reference after the removal of slips, it is necessary that the number of the file referred to should be quoted in the body of the note and the number of the relevant page together with the latter of the slip attached thereto indicated in the margin Thus:

In the body of note. In the margin of note. F.No. LGA 54 BLA  
87/Flag G.P.-3/Notes.

Similarly, a description of the Rules, Regulations, Acts, etc., together with the number of the relevant paragraphs or clause referred to will always be quoting the body of the note while in the margin will be indicated the alphabetical letters of the slips and the page number.

(vii) Books or Rules, etc., to which reference is made in the file be placed on a file, if copied thereof are available which the officer to whom a case is submitted a brief mention to this effect being made in the margin of the note in pencil. When, however, Books/Rules are required to be put up with files, such publications should be placed on top of the flaps of the file board covering the file and then bound neatly and strongly by means of the string attached to the board in a bow-tie.

### **LINKING OF FILES:**

168. (i) Linking of files on which action is in progress will, as far as possible, be avoided. As a general rule 'linking' will be resorted to only when the files are inter-connected and orders have to be passed on them simultaneously. If any paper on a current file is required for reference only in connection with the disposal of another current case relevant extract should be taken from the former and placed on the latter.

(ii) When files are linked strings of the file board of the lower file but not its flaps will be tied round the upper file. The strings of the file board of the upper file will be tied underneath it is a bow out of the way. Each file will thus be intact with all its papers properly arranged on its file board.

## **ARRANGEMENTS OF PAPERS FOR SUBMISSION OF A CASE:**

169. A case consists of a current file and any other files and papers, books, etc., put up for reference. The papers on a case will be placed in the following order from top downwards;

- (i) 'Notes' ending with the note for consideration;
- (ii) 'Correspondence' containing the 'PUD' and 'FR' if any, and the draft for approval.
- (iii) standing Guard Files.
- (iv) other papers referred to e.g., extracts from notes or correspondence of other files, resolutions, gazettees, etc., arranged in chronological order, latest being placed on top.
- (v) Recorded files arranged in chronological order, latest being placed on the top.
- (vi) Routine notes or papers placed in a cover in a chronological order.

170. While submitting the file to officers it should be placed on a file board and sent in with its cover closed, book-mark being inserted at the particular page where the latest note or minute has been recorded for submission on perusal or orders of appropriate authority.

## **PRIORITY MARKINGS ON FILES:**

171. The following kinds of priority markings only should be used in the sections of Legislature Secretariat;

- (i) The two prescribed priority markings to be used on files and papers are 'Immediate' and 'Priority'.
- (ii) The lable ('Immediate' should be used only in case of extraordinary sttract the attention of an Officer to a paper which it is described should not be over-looked;
- (iii) The lable 'Priority' should be used on papers which should be given precedance over others of ordinary nature to which no priority labels have been attached like Legislative Assembly or Legislative Council questions, Adjournment Motions, Resolutions, Notices under various Rules etc.

(iv) In addition, the following labels may be used to draw instantaneous to files and papers of particular type:

Top Secret

Secret

Confidential

PUD – Paper Under Disposal

DFA – Draft for Approval

DBN – Draft Board Note

FR – Fresh Receipt

Adjournment Motion

Calling Attention Notice

Privilege

Matter Under Rules 68

Matter Under Rule 334

Matter Under Rule 310

Different colours may be used for different kinds of slips. Priority labels should be used carefully and with discrimination and removed at the proper stage by the Section Officer

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## CHAPTER XII

### INDEXING AND RECORDING

#### A. INDEXING

172. **Index:** Its object:- An index of the records of the draft provides a means of tracing previous papers on a particular subject.

#### Constituents of an index slip

173. (i) An index slip is composed of two parts, namely (a) Title and (b) File number and date of orders, circular etc.,

(ii) Title of File:- The subject given to a files is called its 'Title' . It should be, as brief as possible, but should give at a glance sufficient indication of the contents of the files so as to serve as an aid to its identification. The 'Title' should be divided into (a) 'Head' (b) 'Sub-head' or 'Sub-heads' and (c) 'Content' in the following manner:

- (a) **Head:** The important word that is placed first in the title, by which is alphabetical position in the index is determined and on which primarily depends on the possibility of finding the title in the index, is called the 'Head'. The Head must be a word or words that will naturally occur to anyone who wants the paper It must not be to vide.
- (b) **Sub-Head:** The Head will be followed by a 'Sub-head' or 'sub-heads' which should be more indicative of the precise subject, of the file than the 'head' selecting 'sub-heads' the consideration to be horna in mind will be the same as in selecting the 'head' viz., that the word or words selected should be such as are likely to strike anyone in need of the papers contained in the file, where it is necessary to have more than one sub-head in a title, the wider and more abstract should generally come before the narrower and more concerts;
- (c) **Content:** After the 'head' and 'sub-head will code the 'content'. Thus must be as brief as compatiabale with expressing clearly that exact subject of the file. If a context shows at a glance, like a newspaper head-line the exact subject of the paper, it is good content. A content worded in general terms is of title practical use, for if it does not distinguish a file from other relating to close similar but not identical subjects. Time may be wasted in taking out and examining several files before it was wanted is found.

(iii) **File number and date:** The title on an index slip will be followed by a reference to file number and date. The procedure of allotting a number to new file has been outlined in paragraph.

(iv) **Standard 'Heads' and 'Sub-heads:** Consistency is essential in the selection of both heads and Sub-heads for example, files dealing with questions of pay should be indexed always under the head 'pay' and not sometimes under pay and sometimes under salary of employments. This can be secured by maintaining a list of standard heads and sub-heads for recurring subjects and then adhering to it.

(v) **Wording and Articulation:** The whole title 'Head', 'Sub-head' and 'Content' should consist mainly of substantive adjectives, where necessary and participants. Minor parts of speech should be excluded as far as possible to make a strict alphabetical arrangement practicable. The title should be articulated or broken up into members each consisting of as few words as possible and each expressing an element in the subject matter. Each will begin with a

174. (i) ABCD List: For practical purposes, records should be classified as under:

**'A' Class:** To be preserved indefinitely. This class will be allotted to files in which important questions have been discussed or which contain orders establishing important precedents or general instructions or ruling or a permanent important ones. These files may be preserved wherever necessary. Classification should be approved by the Under Secretary.

**'B' Class:** To be preserved for 30 years. This class will be allotted to files of the same category as above but which are unlikely to be required for reference after a few decades. Classification should be approved by the Under Secretary.

**'C' Class:** To be preserved for 5 years. This class will be allotted to files of secondary importance which it is desired to preserve for a very limited number of years. Section Officer can approve this classification.

**'D' Class:** To be destroyed as soon as the purpose is fulfilled and in any case not later than one year after the end of the year in which they are filed. This class will consist of files contents of which are of a purely ephemeral nature. Section Officer can approve this classification.

(ii) The classification of records into above categories should be facilitated by means of an authorised ABCD list of subjects dealt with in a section. The different

subjects dealt with in a section should be grouped into ABCD categories having regard to the nature and importance of each subject from the administrative and parliamentary point of view. The Section Officer of each section should prepare such a list for the section and get it approved by the Under Secretary.

**175. PROCEDURE FOR MAKING CLASSIFICATION:**

Classification should be made on each case separately by the Assistant dealing with the case when no further action is required to be taken on a file. The Assistant will put up the file to the Section Officer for his approval for being recorded under ABCD list.

**176. PREPARING A FILE FOR RECORD:** After a file has been marked for record it should be arranged properly for recording by the Record Clerk. This would involve the following action:

(i) Amendment or revision of the title of the file where necessitated by the development of the subject matter of the case since it start;

(ii) Completing reference, that is, removing them to the Record Official who first attends office in the next morning and the record rooms shall be opened in the presence of Section Officer or a Senior Official

**B. BOARD/SPECIAL BOARD CASES**

184. As soon as it becomes clear that a case will have to be placed before the Board/Special Board, the concerned Section shall prepare a draft note, setting out the facts relating to the case, the points for decision and the file sent to administration-I Section for taking action to convene the meeting and place the said subject before the Board/Special Board.

Before a case is included in the agenda, the Finance Department must be consulted, wherever required, and their remarks/concurrence obtained and the same in the Brief Note.

185. The Brief Note is not intended to be mere reproduction of the note recorded on the file in extense. It is intended to be a careful, accurate and precise views of the Office on the subject, It is not necessary to quote the actual words of any Officer unless it becomes necessary for the purpose of bringing out the points under decision.

186. It will be found often advantageous to send copies of the draft Brief Note to the Section concerned simultaneously requesting them to indicate their views.

These can, where necessary, be incorporated in the final draft before the case is submitted to the Board/Special Board. In such cases, the draft Brief Note and the views of the Sections thereon may be filed in the correspondence portion due reference being made thereof in the noting.

187. While submitting a case for being placed before the Board/Special Board the Sanction to which the case pertains should prepare and forward Memorandum setting out with sufficient precision, the points in the case which require decision to the Under Secretary (Administration).

188. The following instructions should be borne in mind while drafting Brief Notes:

(a) The draft Brief Note should be marked confidential and it should bear the number of the file on the top:

(b) a brief subject heading should be given in all cases:

(c) The paragraphs and pages in the Brief Notes should always be numbered to facilitate reference during discussion in the Board/Special Board.

(d) a Brief Note should set out the main points at issue and for consideration in a series of short and crisp paragraphs setting forth the essential points:

(e) if a Brief Note relies on a detailed analysis of some complicated factors, or on statistic, this should invariably be set out in the form of an appendix for reference, is necessary.

(f) the fact of having consulted other Section/departments concerned in the matter should be indicated in the Note, giving in brief either their agreement to the proposal, or in case of any difference of opinion, the point or points on which such difference(s) of opinion(s) have been expressed by them:

(g) if the proposal(s) made in a Brief Note involve(s) any financial commitment, the fact of having consulted the Finance Department and their remarks/concurrence should be clearly indicated in the Note:

189. The arrangements of the contents of the Brief Note should be as follows:



## **P A R T - I**

The main points at issue and for consideration should be set out in a series of short and crisp paragraphs:

## **P A R T - II**

In proposals involving financial commitment the remarks/concurrence of the Finance Department and its agreement or otherwise to the proposal should be clearly indicated.

## **P A R T - III**

The concluding part should contain the specific point or points on which the decision of the Board/Special Board is sought.

### **C. SUBMISSION O FILES TO THE GOVERNOR**

190. In cases which have to be submitted to the Governor for obtaining the approval of the Governor, a short and clear summary should be prepared by the Secretary. The Secretary should clearly bring out in the summary that the requisite formalities have been completed that the proposal has the approval of the Board/Special Board, as the case may be, and indicate the action required on the part of the Governor. The note should be on a separate thick sheet of paper that should form part of the Note file, should be signed, by the Secretary and forwarded to Secretary to Governor for obtaining the approval of the Governor.

## **CHAPTER XIII**

### **PROCESS OF PARLIAMENTARY MATTERS**

191. The parliamentary Business is transacted in Legislative Assembly and Legislative Council in accordance with the procedure laid down under the Rules of Procedures & Conduct of Business in Legislative Assembly and Legislative Council. The members of Legislature, being the representatives of the people, are required to focus the attention of Government on various matters to public importance and seek redressal thereto. In order to enable the Members to discharge their duties effectively, the rules of procedure of both the Houses lay down the procedures for raising various issues depending upon their importance and urgency. The members desirous of raising various matters of public importance has to give notices in the prescribed forms viz., Questions, calling Attention Notices, Adjournment Motion, Discussion for Short Duration etc., where no forms are prescribed, members can give notice in a white paper.

192. The Sections dealing with the Parliamentary matters are to process the notices received under different rules as follows:

i) Immediately after a session of the Legislature is convened, the concerned section issue Bulletins informing the Members of the Various parliamentary devices available for them and the procedure they have to follow to raise such matters by giving notices in prescribed forms within the time and date fixed hereto. The notices are given to raise matters in the form of Questions, half-an-hour discussion, Calling Attention Notices, matters of Public Importance for short duration and matters which are not points of order, adjournment motion, Resolutions, etc.,

ii) On receipt of a notice from the Member in the concerned section, the diarist will diarise the same by assigning a Sl. No., and making note of the name of the Member and subject matter in the respective columns of the prescribed register maintained in the section and then pass it on to the concerned case-worker.

iii) The case-worker will make arrangements to get the notice typed and take out required No., of copies and send advance copies to all concerned and then work up the notice in a file and submit the same to the Section Officer, who in turn will send the file in the hierarchy of Officers concerned and obtain necessary orders for admission or otherwise of the said notice. If the notice is admitted then the fair copies of the notice has admitted, are again sent to all concerned for furnishing replies thereto within the time stipulated under the rules of procedure. After receipt

of replies the matter is included in the list of business (Agenda) of the respective Houses. The member in whose name the matter stands raises the issue in the order of business indicated in the list of business and the Minister concerned file reply thereto. The Members are also permitted in certain cases to seek clarifications arising out of replies to the issues raised by them and the same are clarified by the Minister concerned in the House. Thus the notice stands finally disposed. In cases where a notice is disallowed the fact thereof if communicated to the concerned member.

193. In regard to Legislative matters, i.e., passing of Bills, the Minister or Member incharge of the Bill gives a notice of his intension to move the Bill introduction and consideration in the House alongwith the copies of the Bill (in triplicate). As soon as a notice is received by the diarist should, diarise the notice and make necessary entries as to the name of the Member, subject etc., and pass it on to the concerned case worker. The case worker should give number to the Bill and examine the notice, whether it is in order, and if it is in order then submit the file in the hierarchy of officers seeking orders as to the date on which the motion for leave to introduce the Bill is to be made in the House. After orders are passed the motion for leave to introduce the said Legislation be included in the list of Business for that day. After the Bill is introduced in the House it should be sent gazette for publication, if it has not already been published in the Gazette.

The Bill thereafter is placed before the Business Advisory Committee for allotment of time and date for its consideration and passing. After the Business Advisory Committee allots time and date the motion for consideration and passing of the Bill Should be included in the list of Business of the House. After the House considers and passes the Bill, the bill alongwith a message from the chair should be transmitted to the other House. When both the Houses approve or pass a Legislation, then the Bill should be sent to press for printing three parchment copies. These copies thereof should be got signed by the Presiding Officer of the House which passed the Bill last two copies of the Bill are sent to the Department of Law & Parliamentary Affairs with a covering letter for arranging to obtain the assent of the Governor/President, as the case may be. In case of Money Bills, after they are passed in the lower House and also by the Upper House a certificate to the effect that the Bill is a Money Bill under article 1194 of the Constitution of India should be got recorded and signed by the Speaker of the Lower House. The

parchment copies with covering letter shall be sent to the Department of Law & Parliamentary Affairs for obtaining assent thereon of the Governor.

### **PROCESS OF SUBJECTS IN THE COMMITTEE SECTIONS IN GENERAL**

194. After the constitution of Committee after the General Election and also on expiring of the term of the Committee, the Sections dealing with the various Legislature Committee should initial action to ascertain from the chairman of the committee, the date and time for concerned initial action for issuing the meeting notice if informing the Members of the Committee the date, time and place of the meeting.

ii) The Committee at its first meeting decide the Subjects to be taken up for examination. Sometimes, subjects are referred to the Committee by the respective Houses of Legislature. The meeting will be adjourned after fixing the next date of the meeting. The section dealing with the Committee's work should write the concerned Secretary to Government to furnish the information in respect of the subject to be examined by the Committee. If the Committee desires that a Questionnaire be prepared on the subject, then a draft Questionnaire is to be prepared and placed before the Committee for its approval. After the Committee accords its approval the Questionnaire should be sent to all concerned and replies thereto obtained. The replies received are to be placed before the Committee for its consideration. If the Committee decides to call the Secretary to Government they should be summoned to appear before the Committee at the time the subject is considered by the Committee. The discussions of the Committee and the evidences tendered by the witnesses are recorded verbatim by the official Reporters and copies of the proceedings are supplied to the concerned section. After the conclusion of the meeting for the day. Minutes of Meeting giving briefly the business transacted. During the Course of examination of a subject the Committee desires to make spot inspection or to undertake a study tours, the section concerned should make necessary arrangements to draw tour programme, and place the same before the Chairman for approval. After it is approved by the Committee approval of the Board if it is a Committee of the Legislative Assembly and Legislative Council as the case may be taken to hold meetings outside the precincts of the respective House. Thereafter prompt action be taken by writing to all concerned about the visit under with the directions of the chairman of the committee.

iii) After the conclusion of examination of the Subject by the Committee, a draft report should be prepared by the concerned section taken into consideration

the discussions/evidences/inspections reports etc., held by the committee as per the proceedings maintained thereto and submit the report, in the first instance, for approval of the chairman of the Committee through the hierarchy of Officers connected with the work of the Committee. Thereafter the draft report should be placed before the Committee for its consideration. After the Committee considers the draft report and adopts it, arrangements will have to be made to get the report printed/cyclostyled and the said report be presented to the House/Houses of Legislature during its sittings. In Case the Legislature is not likely to meet shortly and the report is to be presented urgently, then the same could be presented to the Presiding Officers to the concerned House. If the concerned Presiding Officer orders for printing and publication of the report, then action be taken to get the copies printed/cyclostyled and first copies are distributed to Members of Legislature before they are made public are given to press for publicity or sent to concerned departments for taking follow up action thereon. In such cases the said report should again be formally presented to the House, when it meets thereafter.

After a report is presented to the concerned Presiding Officer/House, the Section Staff should ensure that copies of the report are sent to concerned departments to furnish action taken reports on the recommendations/observations of the Committee.

v) After action taken replies are received, they should be placed before the Committee in a tabular statement from for its consideration and decision thereon. If the Committee desires that the matter is to be pursued further, followup action should be taken accordingly and in case of all such replies an action taken report also should be prepared and place for the approval of the Committee. After it is approved by the Committee, the same shall be presented to the House.

195. In respect of notices received from Members for tabling non-official resolutions in the House, the concerned Section Diarist should diarise the said notices and made necessary entries in the columns of the prescribed register before it is passed on to the concerned case-worker. The case worker after receiving the notice should work up the same in a file and submit through hierarchy of Officers seeking orders for its admission. After admission of notices of resolutions a ballot shall be held to ascertain the priority of resolutions for a particular day arranged in the order of ballot and the list got printed and circulated among the Members of the House alongwith the agenda papers for the particular day in advance. A copy of the resolution shall be forwarded to concerned Secretary to Government. After a resolution is discussed and a resolution is adopted by the House, then a copy of

the resolution so adopted shall be forwarded to the concerned for its implementation.

### **PROCESS OF STATUTORY NOTIFICATIONS LAID ON THE TABLE OF THE HOUSES OF LEGISLATURE**

196. All Notifications issued under various statutes, Acts, regulations, etc., as and when received from the concerned departments are to be diarised and necessary entries made in the prescribed Register by the section diarist and passed on to the concerned case worker, who in turn, shall make arrangements to see that the notifications are included in the list of business of both Houses of Legislature for being laid on the Table of the House. After the notifications are laid, a tabular statement indicating the details as to the No. of the Notifications, subject matter and date of laying in Legislative Assembly, Legislative Council is to be prepared department wise and sent to the departments concerned to furnish their remarks/replies (in 30 sets) indicating the necessity and object with which the said Notifications were issued for consideration of the Committee on Subordinate Legislation.

After receipt of replies from the departments concerned, they shall be placed before the committee for its consideration and the Secretaries to Government and other departmental Heads concerned, are to be invited to appear before the committee during the Course of examination of the same by the Committee. The Secretary to Government Department of Law & Parliamentary Affairs is also invited to attend and assist the committee in its deliberations.

iii) After the Committee hears the Departmental representatives and concurs with the object and intention of the Government in issuing those Notifications, a draft report as to the acceptance or otherwise of the notifications including any recommendations made in respect of some Notifications is to be prepared and placed before the Committee for its considerations and adoption. After the report is adopted by the Committee, the same will be presented to the Legislature. The Chairman of the Committee will present the report in the Legislative Assembly and a Member of the Legislative Council who is also a member of the Committee will present the report in the Legislative Council. Thereafter a few copies of report will be forwarded to the Secretary to Government Concerned for implementation of the recommendations of the Committee.

iv) Thereafter the follow-up action on the report is to be taken by the section concerned on lines similar to those indicated in except of the reports of all committees.

## **PROCESS OF SUBJECTS IN PUBLIC ACCOUNTS COMMITTEE SECTION**

197. The source of material for consideration of the Committee on Public Accounts is supplied by the Audit report presented by the Comptroller & Auditor General of India to the Houses of Legislature. The Audit report contains the observations made during the course of Audit of transactions carried on in different departments of Government.

ii) Soon after the Audit report is laid on the table of both the House, the Audit report are forwarded to the Secretary to Government to furnish the departmental notes on the audit paras in the prescribe proforma. The Section dealing with Public Accounts Committee should prepare a department wise statement indicating the Audit para No., subject and observations made by the Audit and send the same to the concerned departments of Government to furnish replies thereto in 30 sets.

iii) After receipt of replies from the departments concerned the same are to be placed before the Committee for its consideration as per the agenda approved by the Chairman of the Committee. The Accountant General and a representative of Finance Department also attend the meeting to assist the Committee in its deliberations. The Secretaries to Government and departmental heads concerned are summoned to appear and tender evidence before the Committee. If the Committee feels it necessary to have spot inspections of the departments or projects etc., the dealing section shall make necessary arrangements thereto.

iv) The other procedure regarding follow-up action to be taken on the deliberations of the Committee are similar to those applicable to all other Committees.

## **PROCESS OF ASSURANCES GIVEN BY MINISTER ON THE FLOOR OF THE HOUSE**

198. During the Course of discussions on various matters and in replies to questions and other matters of public importance raised in the Houses of Legislature, the Ministers give assurances for implementation of certain matters.

ii) The staff of the Assurance Committee Section shall cull out all such assurances from the proceedings of the both the Houses of Legislature and prepare a list of such assurances in a tabular form indicating the Sl. No., reference to the notice with name of the Member who raised the subject and the assurance held out by the Minister.

iii) After the list is prepared it should be placed before the Committee on Government Assurances of the respective Houses of Legislature for its consideration and approval. After the Committee approve as the list of such assurances, the same should be send to the concerned departments of Government for furnishing replies indicating the action taken or proposed to be taken thereto for the consideration of the Committee.

iv) All replies received from Government departments shall be placed before the Committee for its consideration and wherever necessary the concerned Secretaries to Government and Heads of Department are to be summoned to appear before the Committee to tender evidence thereon.

v) The Committee considers the replies received from Government and also bears the Government and departmental representatives and Committee is satisfied with the action taken by Government accepts the replies where the Committee is not satisfied and desires that the matter be pursued further. A draft report indicating the decisions or recommendations of the Committee is to be prepared by the Section and submit the same through hierarchy of Officers concerned for approval. Thereafter the draft report shall be placed before the Committee for its consideration and approval. After the Committee adopts the report the same shall be presented to the House/Speaker or Chairman, as the case may be, thereafter the follow-up action thereon is to be taken on lines similar to those suggested in respect of reports of all other Committees.

## **PROCESS OF PETITIONS PRESENTED TO THE HOUSE**

199 (I) Whenever petitions or representation are sent by Hon'ble Members, on behalf of their Constituents, the concerned section diarist shall diarise all the petitions/representations in the prescribed Register by assigning Sl. No., and make necessary entries in the columns indicating the name of the Member, Subject matter and the department to which it pertains etc., and thereafter pass it on to the concerned case worker. The case worker should put up the petition/representation in a file in the hierarchy of Officers and submit the same to the presiding Officers concerned seeking orders as to its admission or otherwise in accordance with the rules prescribed thereto in the rules of procedures of the respective Houses of Legislature. After the petition/representation are admitted the case-worker would see that the petitions are included in the list of business for presentation to the House. After they are presented in the Houses, then the petitions shall be forwarded to the concerned department for offering their replies for consideration of



the Committee on petitions. The representations after they are admitted are to be sent to the departments concerned for furnishing replies thereto.

ii) All the replies received for both petitions and representations are to be placed before the Committee in a tabular form indicating the name of the Member, Subject matter and the reply furnished by Government departments thereto. The Secretaries to Government and Heads of Departments concerned are to be summoned to appear before the committee and tender evidence at the time the Committee considers the replies to the petitions/representations. Thereafter the deliberations of the Committee are to be processed and follow up action there taken on the lines similar to these indicated in respect of all other Committees.

## **CHAPTER XIV**

### **CHECKS ON DELAYS**

#### **WEEKLY ARREARS STATEMENT :**

200. (i) The weekly Arrears Statement is intended to give a statistical picture of the total number of receipts and cases received and deal with by each Assistant during a week, together with a detailed analysis of the number of receipts and cases left over with each Assistant and the Section as a whole. Incidentally, the weekly Arrears Statement gives an idea of the distribution of work among the Assistants and the load of each individual Assistant. The Statement also enables the Section Officer, the Under Secretary and the Deputy Secretary concerned to keep a watch over the progress of work of each Assistant and to take suitable steps to expedite action on delayed cases and prevent section from running into large arrears

ii) The Statement will be prepared on the last working day of every week in Form No.6. The Diarist shall initiate action by completing the headings in Column No.4 of the Form with the help of the Section Diary. The Statement will be circulated among the dealing Assistants in the section for completion of Columns 5 to 9 of the Form. The Assistants should indicate the resubmission cases. Figures of arrears to be given in Columns 7 to 9 will be determined by the Assistants by a physical count of receipts pending action with him and with reference to the Assistant's diary. In Column 5 will be given, the difference between Column 7 and the total of Column 3 and 4. Detailed information in respect of receipts or cases in hand of the Assistant for over 5 days will be given in the Columns 1 to 5 of Form No.7 (which forms an Appendix to Form No. 5) For this purpose the period of pendency of a paper with an Assistant will count from the date of its receipt by him.

iii) The Diarist will submit the statement to the Section Officer duly completed in all respects on the first working day of the next calendar week i.e., on Monday next or on Tuesday, if Monday happens to be Holiday. The Section Officer will scrutinise the statement, giving his remarks where necessary, in Column 6 of Form No.7 and submit it to the Under Secretary on the same or next day.

iv) Where the Section Officer marks receipts to himself he will indicate the position in respect of such receipts in relevant columns of the weekly arrears statement before it is submitted to the Under Secretary.

v) The Under Secretary will give his remarks in column 4 of Form No.8. Weekly Arrears Statement need not be submitted to the Deputy Secretary or Secretary of the Department unless no issues specific instructions to the effect that such statements should be put up to him.

#### **MONTHLY STATEMENT OF CASES PENDING DISPOSAL FOR OVER A MONTH**

201 (i) As opposed to the disposal of more receipts at the Assistant's level, which is reflected in the weekly arrears statement, the monthly statement of cases pending disposal will, as its name implies deal with cases which are pending disposal for over a month, and as indicated in the file registers of the Sections. It is the tempo of disposal of these cases that gives a true picture of efficiency of any office, as the ultimate purpose for which the office is established is the final disposal of public business and not merely meticulous carrying on of correspondence of shifting of files. Thus the emphasis here is on disposal of cases as a whole as opposed to more receipts;

ii) The purpose of the monthly statement of cases pending disposal is to bring to the notice of Officers the cases that have been pending in the Sections Under their charge for over a month, and where and why. The Statement will indicate particulars of all live cases pending disposal for a for over a month. A case will be treated as a live case until it has been 'finally disposed'. The monthly statement will give an opportunity to officers to review the pending cases and also provide them an occasion to give instructions to the subordinate staff to take special action or to obtain specific orders with a view to expedite the disposal of such cases;

iii) The Statement will be prepared in Form No.8. The district will initiate action by giving the numbers of all Files/Receipts (not taken on files) remaining undisposed of upto the end of the month preceeding that to which the return relates. Receipts like unofficial files belonging to others Departments on which action is usually taken without their being brought on to a file will be included in these lists. The Diarist will prepare these lists by the 3<sup>rd</sup> of every month.

iv) The Section Officer and the Assistant will scrutinise these lists. They will then proceed to prepare the monthly statement in Form No.9 a separate form being used for each pending case. Where such Forms have already been prepared in the previous months for the pending cases the progress of further action taken on that case will be indicated in the same statement for that case below the last entries. The Assistants will submit the details of their pending cases in Form No.9 the

Section Officer by 7<sup>th</sup> of every month. The Section Officer in turn will submit the consolidated statements by the 10<sup>th</sup> of every month to the Under Secretary with a brief note indicating the following details :-

Details	Position as in the last statement	Present Position	No. of cases added/disp osed of or Transferred To call Book
a) No. of Cases pending Between 1 and 3 months			
b) No. of Cases pending between 3 and 6 months			
c) No. of cases pending between 6 months and one year			
d) No. of cases pending between 1 year and 2 years			
e) No. of cases pending over 2 years			

The Statements relating to disposal of cases, if any, will be removed from among the statements submitted in the previous month crossed in red ink and kept in a routine folder below. The entire set of statements will be arranged in chronological order, the latest being on top and the case with the longest period of pendency being at the bottom. These statements will be placed in a folder of 'Statement of pending cases' neatly arranged and submitted to the Under Secretary with the note mentioned above duly recorded in a regular file opened for the purpose. The title of the file should be 'Monthly Statement of cases pending disposal for a month-submission on the 1th of every month'.

202. In order to reduce the delay in the disposal of business in the Legislature Secretariat, the following steps are suggested :-

(I) Secretary should devote one day every month to review and discuss long pending files which are more than 6 months old with the officers concerned. AS/JS/DS will similarly review cases pending between 3-6 months and U.S. less than 3 months old.

(II) Where cases are hold up for comments or views with other departments Secretary should contact his counter part in the other departments or arrange personal discussions with a view to disposal of settlement of points at issue;

(III) The Officers at the level of Deputy Secretary and above will arrange to prepare a list of cases pending with the over a month in the form No.9 and submit to the Secretary.

A 'NIL' Statement in Form No. 7, 8 or 9, as the case may be, shall be submitted, when there are no cases pending.

### **CALL BOOK**

203. (i) Cases which have reached a stage when no steps could be taken by way of expediting action for a long (O.G. time cases held up before Law Courts etc.,) may be excluded from the monthly statement or pending cases and their progress attached through a call book (Form No. 10) to be maintained by all Sections. These cases should, however be shown separately in the break up balance in one monthly statements or pending.....

(ii) The following procedure should be followed for maintaining the call Book:-

a) As soon as the Assistant finds that no action whatever can or need be taken on an outstanding case for expediting disposal not open by issuing a reminder-for a period of atleast six months, he will put it up to he Under Secretary through the Section Officer for orders whether the case may be transferred to the 'Call Book' suggesting the date on which action on it should be restarted:

b) The Under Secretary will examine the case carefully and satisfy himself that the inclusion of the case in the 'Call Book' as justified and pass orders accordingly;

c) when a case has been transferred to a call book no further action will be taken on it till the date of its reopening or till need arises to take action on it earlier in consequence of, say, the receipt of a decision of a Law Court, or the receipt of a reply from the party concerned sooner than it was anticipated;

d) Call Book during the first see that the cases which have become ripe for further action during the month which are brought forward and action initiated on them on due dates. The call Book will be submitted to the Under Secretary in the second week of every month and the Deputy Secretary once a quarter i.e., during the month of January, April, July and October. They will satisfy themselves that no

case on which action could have been taken suffice by its inclusion in the Call Book, and where necessary give their remarks or directions about the action to be taken in any case;

e) when a case placed on the call Book is omitted from the monthly arrear statement, the total number of cases brought on the Call Book should however be shown separately in the break up of the monthly statement of pending cases;

f) When a case become ripe for action or if action is re-started as a sequel to the receipt of a communication from the party concerned earlier than expected, the date of receipt of communication from outside or the note recorded by the Officer or by the Office note leading to the re-opening of the case will be treated as the date of the commencement of re-opened case and further progress watched in the usual way.

#### **REGISTER OF PERIODICAL RETURNS:**

204. Each section should maintain a Register of periodical Returns in Form No.11 showing periodically the return, the authority from whom it is to be received or to whom it has to be sent, and the date of receipt and submission. These returns may be weekly, fortnightly, monthly, quarterly, half-yearly or annual (full details regarding the mode of maintaining this Register see Appendix-VI)

## **CHAPTER – XV**

### **INSPECTIONS**

#### **INSPECTIONS OF BRANCHES**

205. The purpose of carrying out the inspections is two fold viz., (i) to verify whether the procedure prescribed is observed in practice and (ii) to give suitable guidance to the branch inspected to raise its level of performance and to increase its efficiency. The object of inspection is not merely to find lapses in the working of the Section but also to give practical guidance as to how they should be remedied.

#### **FREQUENCY OF INSPECTIONS;**

206. (i) The inspection of branch should be carried out by the section Head of the Branch. Each Section Officer/Section Head should inspect his own section once in three months in the manner specified in Form No.12. A check list of points to be observed by Section Officers while inspecting the Section is furnished vide Appendix-vii. The Under Secretary should inspect each of the Sections under him once in six months in detail in the manner specified in Form No. 13.

(ii) The Deputy Secretary concerned in the Department should inspect the Sections under him once in a year in the manner specified in Form No. 14 preferably at the beginning of the next calendar year i.e., during January of the year after the Under Secretary concerned has carried out his inspection for the second half year as illustrated below:-

**T A B L E**

<b>Section Officer</b>			<b>Under Secretary</b>		<b>Dy. Secretary</b>
i)	Quarter ending March	During April	I Half year Ending June	During July II week	Annual inspection during II week of January
ii)	Quarter ending June	During July First week			
iii)	Quarter ending September	During October	II Half Year ending December	During January I week	
iv)	Quarter ending December				

**NOTE :**

For the iv quarter the section officer need not inspect his section as the Under Secretary shall carry out his inspection for the 2<sup>nd</sup> Half year in January.

iii) In addition to ordinary inspection prescribed in the above sub-para by Section Officer/Under Secretary and Additional Secretary/Secretary should, occasionally carry out the inspection of the branches with special reference to the question of disposal of cases. The Secretary should conduct surprise checks of a few sections to ensure prompt and efficient disposal of work in the Legislature Secretariat.

**INSPECTION REPORTS:**

207. The inspecting officer should submit his report to his immediate officer. All notes of inspections should be carefully drawn up indicating the defects in the course of inspections and suggestions for the General improvement and standard of work. The section officer should prepare statement showing action taken on the General Inspection Report in Form No. 15.

**PERIODICAL MEETINGS OF THE OFFICERS**

208. Officers meeting should be held every quarter and at three meetings problems come using the working of the Sections could be also discussed. These meetings should be conducted in such a manner that members of the staff also should feel that they have a share in shaping decisions which are aimed at improving the standard of efficiency. In these meeting opportunity should be given to everybody to express his views so long as they area relevant to the question.



## **CHAPTER XVI**

### **SECRETARIAT RECORDS**

209. Record section is the repository for the correct records except 'D' records of all sections of the Secretariat.

210. The Record section is under the Administrative control of the Secretary and under the immediate control of the Under Secretary-Administration.

211. Records of the last 30 years are current records. All records which are over 30 years old are defined as non-current and may be weeded out, unless ordered otherwise by the Secretary.

212. The main functions of the Records Section are:

- i) receipt and preservation of the records;
- ii) servicing of the records;
- iii) destruction of time-barred records; and
- iv) preparation of Annual indices.

213. The under mentioned records of the last five years including the current years are kept in Record Section.

**NATURE OF RECORDS :** (i) Originals of A,B,C, Class files;

(ii) File registers, Section Diaries and other registers which are required to be preserved for more than one year.

(iii) Spare copies, Government Orders, Circulars, Official Memoranda, Printed Reports, etc., (not less than 10 copies and not more than 25 copies);

(iv) Indices.

214. **SERVICING OF RECORDS :** (i) Records of all types will be permitted to be taken out only by the sections to which they relate and not by other Sections. Where subjects are transferred from one section to another Section, the Section to which the subject is transferred may take the records relating to the subjects without any permission of the former section.

(ii) In case one section requires the current records of another section for reference purposes, such records can be taken from the Record Section only through the section directly concerned;

(iii) Non-current records however are permitted to be taken out by sections other than the concerned section also;

(iv) 'Top Secret', 'Secret' and 'Confidential' records can be taken out from the Record section on a requisition by the Deputy Secretary requiring it and only after counter-signature of the Deputy Secretary of the concerned section. The requisition should invariably state the purpose for which the record is required.

215. Records shall be supplied only on requisitions made on the prescribed requisition form (KLS Form No. 21) by the Branch Officials. The requisition slip in KLS Form No. 21 shall be printed in different colours as at present. The requisition slips shall be signed by the official indenting for the records. The file number for which the record is required should invariably be noted in the requisition. Vague entries like 'For Under Secretary's use or perusal' etc., should be avoided. The Record Section shall refuse to comply with such vague requisition but return it for being properly prepared.

216. For each record requisitioned there should be a requisition slip.

217. No requisition slip should be marked 'Urgent' or 'Special' etc., unless they are really so. Such requisitions should be attended to immediately.

218. All requisitions which are in order shall be entered in the serial order in which they are received, in an Issue Register (KLS Form No. 22) maintained for the purpose in the Current Records Section.

219. When any record is taken out from the Record bundle in response to a requisition, the requisition slip should be kept in the place of the record removed. When the record is restored to the bundle, the requisition slip should be taken out and returned to the section concerned after necessary indication. The fact of return and restoration should also be noted in the Record Issue Register.

220. If the requisition record is not available, the slip should be returned with a note as to where the record is e.g., Taken out by ..... for File/Diary No. .... on ..... or collection not received, etc.,

221. A similar procedure should be adopted in complying with the requisition for supply of spares copies of printed Government Orders, Circulars, Official Memoranda, etc.

222. (i) The section officer incharge of the Records section should prepare by the 5<sup>th</sup> of every month in respect of each section, a list showing the collections, lent and outstanding for more than a month, and send it on to the Section Officers

concerned to see that the collections are not unnecessarily retained and that such of these as are not required are promptly returned to the Records Section.

(i) The Section Officers of the indenting sections should return collections which are no longer required and in respect of those that are retained with them, they should endorse that they are still with them;

(iii) The Section Officer of the Record Section shall report to the Officer-in-charge any undue delay in the return of records as also records which are lost and cases where the records are not transferable.

**223. CLOSING OF RECORD SECTION :** When the section is closed for the day, the keys of all the doors after they are locked and sealed, shall be put in a cover, sealed, signed and handed over by the official of the section to the section Officer/Under secretary concerned. The Section Officer/Under Secretary shall keep the keys safely and return them to the concerned official who first attends office in the next morning and the record rooms shall be opened in the presence of section officer or a Senior official of the section. The Section Officer, record section shall ensure before leaving the office that all the doors and windows are properly closed.

**224. OPENING OF RECORD SECTION AFTER IT IS CLOSED :** If any immediate necessity arises to open the Record section, after it had been closed or on a holiday the indenting Under Secretary may obtain the keys from the concerned Officer. After the Record required by him has been taken. He shall leave a requisition slip duly filled in on the table of the section officer, Record section containing particulars of the paper taken, lock the room, seal it and return the key to the officer from whom he had obtained the keys.

The above procedure should not be resorted to except in grave cases of urgency, the nature of which should be indicated in the requisition slip.

**225.** Collections newly recorded should on no account be issued by the Recording clerk of the Section but should invariably be sent in the first instance to the Record Section. They may be obtained from the latter section when required.

**226.** The Record Section will be held responsible for any record found missing after its receipt in the section. The record issued to the sections should be supported by the requisition slip and an entry in the Records Issue Register. The section concerned will be held responsible for any record found missing after it is issued to them.

227. Whenever a record is found missing in the bundle and requisition slip is not found in his place or there are no entries in the Issue Register, a report shall at once be made to the Branch Officer and action taken to search for the missing record. The section officer and staff of the records section will be held responsible for the loss of records in such cases.

228. All records files, will be forwarded to the Record section duly entered in KLS. Form No. 23 also in duplicate. The record section will check the recorded files with the entries made in the form and sign acquittance in the duplicate copy of the form, which would be returned to the section concerned.

229. The collection should be kept in the record room in bundle of convenient size arranged according to sections in annual series in the order of subject headings after entering them in the section wise Register (KLS FORM No. 24). Every bundle should then be provided with a suitable label indicating the contents of the bundle. In respect of 'A' collections copies should be get printed unless otherwise ordered, one printed copy being kept along with the file and the other printed copies be kept separately.

230. The registers and returns of section should be sent to the Record section when they are no longer required for current use in the sections. These register and returns should also be entered and preserved for the specified periods as in Appendix 6 and arranged section-wise.

231. **PRESERVATION OF RECORDS :** The preservation of records is a very essential feature of the Records section. They should be protected against deterioration and the following rules in this behalf should be observed:-

(i) Immediately the records are received, they should first be dusted by hand or mechanical process and arranged or restored to the respective bundles;

(ii) The bundles should be dusted and kept tidy, free from lamp, insects, etc., They should be frequently exposed to free air. With this and in view, there should be periodical checks of all records;

(iii) Disinfectants and insecticides such as Napthalene, DDT, Coal-tar, etc., should be frequently used on all shelves and racks where the records are kept to prevent infection through insects, rats, etc.,

(iv) Records which become brittle and worn out through passage of time and which require to be preserved should be got reconditioned in time on scientific lines;

(v) Worn-out labels on each bundle should be replaced by fresh ones periodically;

(vi) All the printed volumes and manuscripts should be arranged neatly and methodically in records;

(vii) The General Record Section should be cleaned everyday and kept tidy and in good condition.

232. (i) The secretariat registers should be preserved either permanently or for particulars periods and destroyed thereafter (for details please see Appendix 7);

(ii) As for the disposal of records which are no longer required to be preserved, normally old records containing manuscript should be torn and disposed off straight away. Secret and confidential records should, however, be torn and burnt;

(iii) Disposal of waste paper is governed by orders issued from time to time by the Executive section;

## **CHAPTER XVII**

### **REGISTRATIONS**

#### **233. REPRESENTATIONS BY OFFICERS/OFFICIALS OF SECRETARIAT :**

The procedure regarding representation by Officers and officials of Secretariat will be as follows;

(i) All representations should be concise and clearly specify the reliefs sought.

(ii) Officer / Official seeking such relief must send the representation in his own name and only through the proper channel.

(iii) Joint representations by more than one Officer/official will not be considered but this will not apply to representations made by recognized service Associations.

(iv) The representation should invariably be accompanied by a copy of the order, if any, appealed against;

(v) An appeal or representation should be submitted within 3 months of the issue of orders appealed against, An appeal or representation submitted after that period will be entertained only at the discretion of the Secretary/Board on being satisfied that there are adequate reasons for not submitting the representation within the time.

(vi) Where Secretary/Board have already passed an order on a representation a fresh representation on the same subject will not be entertained unless the representation disclose new grounds or facts not brought before Secretary/Board when the previous order was passed and adequate reasons are furnished for not placing these grounds or facts before Secretary/Board at that time.

(vii) A Superior Officer who receives a representation from his subordinate should see to the prompt transmission of the paper to proper authorities with his comments and with relevant records, if any, in his possession within maximum period of 14 days. Similarly, the deciding authority will also see that the decision in such cases is taken with the least possible delay.

(viii) Representations should, however, be withheld in the following cases:-

(a) If it is time barred and sufficient reasons are not assigned for the delay in submitting the representation; and

(b) If a copy of the order appealed against is not annexed to the representation.

The fact that a representation has been withheld and the reasons therefore shall be communicated to the Officer/Official concerned.

(ix) The representation received from an Officer/Official should be forwarded by his immediate superior officer to the authority to which it is addressed through the proper channel. The practice sometime adopted of handing back the representation to the aggrieved Officer/Official himself with the remarks that he should take it personally to the higher authority concerned is incorrect;

(x) Officer/Official are permitted to submit advance copies of their representations to the competent authorities directly, originals of which have been submitted through proper channel;

(xi) Rule 26 of the KCS (conduct) Rules, 1966, lays down that no Government servant shall bring or attempt to bring any political or other influence to bear upon any superior authority to further his interests in respect of matters pertaining to his service under the Secretariat. Board will take serious view of the contravention of the above instructions. No action should be taken on letters, representations, etc., which violate either of these two provisions. They should be merely returned to their writers with a note drawing attention to the relevant provisions of the conduct Rules which they violate.

## **CHAPTER XVIII**

### **MISCELLANEOUS**

234. Officials are prohibited from moving articles of furniture from one room to another without the permission of the Under Secretary, Executive.

235. Stationary and Forms:- The Executive Section should send to the Government press a consolidated Stationary indent once a quarter before 5<sup>th</sup> day of each quarter and should maintain an account of stationary received and distributed by preserving duplicate copies of the indents received from the sections, etc., A similar indent for the stationery required for the use of parliamentary functionaries officers will be drawn by the PSs/PAs attached to them. All sections should send their indents to Executive section which shall arrange to deliver the stationary articles expeditiously to the respective 'Sections'.

236. The Section Officer incharge of Executive section will keep stock of printed forms and stationery and supply them on monthly indents. He should check all obsolets forms once a month and try to put them to alternative use as far as possible.

237. Stationary and forms supplied to Sections should be kept under lock and key in the section under the control of the Section Officer and should be distributed as per his orders.

238. It is the responsibility of the Section Officer of Sections and the Under Secretary to see that orders regarding economy in the use of stationery articles, forms and registers are followed implicitly by sections. The Section Officer should report about any official who is guilty of neglect in this respect.

239. Discipline and Attendance : The prescribed office hours area from 10-00 am to 5-30pm on all working days.

(a) An attendance Register in KLS Form No. 26 will be kept by every Section Officer for the section in which the attendance of every member of the staff including Group D Staff on duty in the section will be recorded;

(b) Every member of the staff should attend office punctually and mark his attendance in the attendance Register at 10-00 am or at any other hour that may be fixed in future against his name;



It is also pointed out that not only the staff is expected to be in their seats at 10-00 am, but they should have started their work at that time and not merely made their appearance.

(c) The Attendance Register should be placed before the Branch Officer by the Section Officer 10 minutes after the start of the office hours. Officials attending office thereafter have to see the Branch officer and sign the Register in his presence making the time of their attendance. The Branch officer will check the Register 10 minutes after the start of the Office hours and put a cross against absentees after which no one will be allowed to mark the attendance. This grace time allowed to mark the attendance is only to that exceptional situations wherein, on account of unforeseen difficulties, Government servant cannot attend the office in time and it cannot be treated as routing concession.

(d) The practice of permitting officials to attend the office late or to leave early has been discontinued. Half-a-day's Casual Leave effective upto or from 2-00 pm on any working day may be granted. Officials attending office after the Attendance Register is checked by the Branch Officer but before 2-00 pm will be granted half-a-day's casual Leave. If no casual Leave is at credit of the official, the official will forfeit a day's leave of any other kind at his credit and if no other kind of leave also is at the credit of the official, the period will be treated as leaves without allowance;

(e) The Under Secretary and Section officers should direct the Group D Staff working under them to attend office half-an-hour earlier than the prescribed office hours.

240. The Group D staff should get the rooms of the sections and of the Under Secretaries opened by the watchman in their presence. Similarly, in the evening they should leave office only after the rooms are locked by the watchman.

241. No member of the staff should leave the office during office hours without the permission of the Section Officer. Officials are allowed to avail themselves of an interval of three fourth of an hour between 1-30 pm and 2-15 pm daily for taking lunch or snacks. Section Officers should see that this period of interval is under no circumstances exceeded.

242. Any member of the staff may be required to work overtime when the business of the Office demands it and the Section Officers are authorised to call upon their officials to work overtime on such occasions.

243. The posts in Group D service have different Designations such as Dalayats, Attenders, etc., and carry different scales of pay. However, all employees in this Group should, whenever called upon to do so attend to any of the duties which a Group D Official is expected to do regardless of their designation.

244. Officials of the Secretariat are supplied with identity Cards for admission and free covenant in the Secretariat.

245. No person other than a Secretariat Official should be admitted into any Section of the office without a permit from the Under Secretary concerned.

246. Officers of and above the rank of Under Secretary are to interview visitors to the Secretariat on Official business between 3-30 and 4-30 pm. There should be no interviews with staff members of the Secretariat below the rank of Under Secretary. With a view to obviating inconvenience, as far as possible, no meetings of Officers should be convened during the hours fixed for interview.

#### **DIVULGING OF INFORMATION AND UNAUTHORISED USE OF OFFICIAL DOCUMENT**

247. Members of the Secretariat establishment must remember that they are subject to the provisions of the Indian Officials Secrets Act, 1923, and the Karnataka Civil Services (Conduct) Rules, 1966 and are precluded from divulging to outsiders or to other Government Servants any information whether expressly marked confidential or not, that may come to their knowledge in their official capacity. Their attention is particularly invited to Rule 18 of the Karnataka Civil Services (Conduct) Rules, 1966.

248. Officials are strictly prohibited from taking official papers outside the offices on any account. Gazetted officers of and above the status of Under Secretaries may, however, take such papers home for study on their own responsibility. Wherever any file has to be shown to the Advocate-General or any Government Pleader outside the Secretariat, a responsible Gazetted Officer should take it personally shown him the necessary papers and bring the file back with him for no account, Secretariat notes may be left with the Advocate General or any Government pleader. Outside the Secretariat a responsible Gazetted Officer should take it personally shown him the necessary papers and bring the file back with him. On no account, Secretariat notes may be left with the Advocate General or any other Government Pleader.

249. All Government servants in Karnataka State service shall take on oath of Allegiance to the Indian Union. (Please see Appendix 9)

***THE PRESS AND THE DIRECTOR OF PUBLICITY AND INFORMATION***

250. The press room attached to the Karnataka Government Secretariat is under the charge of the Director of Information and publicity.

(i) Copies of every order which is of general public interest shall be sent to the Director of Information and Publicity under the orders of the Secretariat Officer concerned.

(ii) No order shall be sent to the Director of Information and publicity before it is communicated to the officers of Secretariat to whom it is addressed.

(iii) Legislature Committee Reports may be communicated to the Director of Information and publicity only after they have been circulated to the Members of Legislature or presented to the House.

251. ***GRANT OF INTERVIEWS OR SUPPLY OF OFFICIAL INFORMATION TO THE PRESS*** : No one except the Chairman, Legislative Council, Speaker, Legislative Assembly, Chairmen of Committees of Legislature and the Secretary should give any information be accessible to the press correspondents, and representatives or the press Associations. If Press correspondents apply to any subordinate officer for any information they should be referred to the Secretary. Secretary is however free to give unofficial information and guidance to the press generally or to selected representatives.

252. ***LEAVE AND HOLIDAYS***: Absence without leave is an infringement of discipline, which, unless a satisfactory explanation is forthcoming, will be seriously dealt with.

253. Leave must be applied for and get sanctioned before it is availed of excepting casual leave necessitated by medical grounds.

254. The Section Officer concerned may sanction casual leave to all officials working under him.

## **APPENDIX – 1**

### **THE FUNCTIONS AND RESPONSIBILITIES OF SECTION OFFICER INCHARGE OF R & I SECTION**

1. Receipt Registration and distribution of tappal to all the Sections;
2. Control and supervision of the Receipts and Issue Section including Typing pool;
3. Sorting out Demi-official and confidential letters and delivering them to the appropriate officers;
4. Putting up important communications to the Under Secretary incharge of the Section at the tappal stage itself so that he can put them up to the Secretary and other officers;
5. Ensuring that telegrams and other important references involving urgency and time limits are brought to the notice of the concerned officers immediately after their receipt;
6. Despatching of fair copies and return to concerned Sections after affixing 'Issue Seal'.
7. Consolidation of monthly arrears statements.
8. To maintain up-to-date stamp Accounts.

## **APPENDIX – II**

### **CONSTITUENTS OF THE INDEX SLIP**

(i) An Index Slip is composed of two parts, namely (a) Title and (b) Title number and date of order, Circular, etc.,

(i) Title of File: The Subject given to a file is called its 'Title'. It should be as brief as possible but should give sufficient indications of the contents of the title so as an aid to its identification. The 'Title' should be divided into (a) 'Head' (b) 'Sub-Head' or 'Sub-Heads' and (c) 'Content' in the following manner:-

(a) Head:- The important word that is placed first in the title, by which its alphabetical position in the index is determined and on which primarily depends the possibility of finding the title in the index, is called the 'Head'. The 'Head' must be a word or words that will naturally occur to anyone who wants the paper. It must be too wide.

(b) Sub-Head:- The 'Head' will be followed by a 'Sub-Head' or 'Sub-Heads' which should be more indicative of the precise subject, of the file than the 'Head'. In selecting 'Sub-Heads' the consideration to be borne in mind will be the same as in selecting the 'head' viz., that the word or words selected should be such as are likely to strike anyone in need of the papers contained the file. Where it is necessary to have more than one sub-head in a title, the wider and more abstract should generally come before the narrower and more concrete;

(c) Content: After the 'head' and 'sub-head' will come the 'Content'. This must be as brief as compatible with expressing clearly the exact subject of the file. If a context shows at a glance, like a newspaper head-line, the exact subject of the paper, it is good content. A content worded in general terms is of little practical use, for if it does not distinguish a file from others relating to closely similar but not identical subjects, time may be wasted in taking out and examining several files before what is wanted is found.

(iii) File number and date: The 'title on an index slip will be followed by a reference to file number and date. The procedure for allotting a number to a new file has been outlined in paragraph 44 (Chapter-I)

(iv) Standard 'Heads' and 'Sub-Heads' : Consistency is essential in the selection of both heads and sub-heads. For example, files dealing with questions of pay should be indexed always under the head 'pay' and not some times under pay and some times under 'Salary or Emoluments'. This can be secured by maintaining a list of standard heads and sub-heads for recurring subjects and then adhering to it.

(v) Wording and Articulation : The whole title 'Head' "Sub-Head' and 'Content' should consist mainly of substantives, objectives, where necessary and participant. Minor parts of speech should be excluded as far as possible to make a strict alphabetical arrangement practicable. The title should be articulated or broken up into members each consisting of as few words as

possible, and each expressing an element in the subject matter. Each will begin with a capital letter and separated from the preceding one by a bold dash.

Examples of Titles :

A few examples of 'title' are given below :-

Subject dealt with	Title Prepared
1. Questing where it is necessary Under the PSC (Consultation) Regulations to Consult the PSC., In Proposals regarding extension of service of officers holding tenure posts.	PSC (CONSULTATION) <u>Regulation Tenure Posts</u> Extension of service in Consultation necessary.
2. Question whether merit should be Regarded as the sole criterion in making promotions and confirmation in selection posts.	SELECTION POSTS <u>Promotions and Confirmations</u> Merit sole critesrion
3. Enquiry whether it is necessary to Communicate adverse remarks in the confidential reports to persons concerned in certain circumstances.	CONFIDENTIAL REPORTS <u>Adverse Remarks</u> Circumstances in which Communication necessary

In each of the above 'titles' the words in block letters are 'Heads' those underlived are 'sub-Heads' and the..... of the 'Title' is content.

### **APPENDIX – III**

LIST OF ABBRIVIATIONS (INDEX LETTERS) FOR USE BY DIFFERENT SECTION IN  
LEGISLATURE SECRETARIAT :

Name of Section	(INDEX LETTERS)	Abbreviations
Legislation Legislative Assembly . . . . .		LGA
Legislative Council Section . . . . .		LGG
Question, Legislative Assembly . . . . .		LAQ
Establishment –I . . . . .		ADM-I
Establishment – II . . . . .		ADM-II
Library . . . . .		LIB
Reference and Research . . . . .		RR
Accounts-I Section . . . . .		ACT-I
Accounts-II Section . . . . .		ACT-II
Accounts-III Section . . . . .		ACT-III
Executive Section . . . . .		EXE
Committee on Public Undertakings . . . . .		CPU
Public Accounts Committee . . . . .		PAC
Estimates Committee . . . . .		EC
Committee on Welfare of Scheduled Castes/Scheduled Tribes . . . . .		SC/ST
Committee on Welfare or Backward Classes . . . . .		BCC
Translation Section . . . . .		TRS
Receipts and Issue Section . . . . .		RIS
Reporting Section . . . . .		RPS
Editing Section . . . . .		EDS

Legislator's Home	.....	LH
Watch and Ward Section	.....	WWS
Regional Imbalances Committee	.....	RIC
Election to Committee of Legislature	.....	ELCA
Election to Senates of Universities	.....	ELSA
Election to other Autonomous Bodies	.....	ELBA
Rules of Procedure, Legislative		
Assembly	.....	RPA
Petitions Committee	.....	PNCA
Party Position	.....	PPA
Vacancies Position		
(Monthly Return of Vacancies)	.....	VPA
<u>Nomination to :</u>		
a) Telephone Advisory Committee	.....	NTCA
b) Telecommunications Advisory		
Committee	.....	NTCC
c) Railway Users Committee	.....	NRUC
d) South Central Railway Committee	.....	NSCRC
e) Southern Region Railway		
Committee	.....	NSRRC

#### L.A. QUESTIONS BRANCH

L.A. Starred and Unstarred Questions	.....	SQA/USQA
Short Notice Questions, L.A.	.....	SNQA
Calling Attention Notices, L.A.	.....	CANA
Matter Under Rule 334	.....	MR 334
Half-an-Hour Discussion, L.A.	.....	HHDA
Assurance Committee, L.A.	.....	ACA



Committee on Private Member's Bills & Resolutions of L.A.	.....	BRCA
Joint Select Committee on Rent Control Bill	.....	JSCRC

#### APPDNEIX – IV

List of Subject Index letters for different subjects dealt with by each Section of  
Legislature Secretariat to be allotted on respective files;

#### LEGISLATION SECTION

<b>Subject</b>	<b>Subject Index</b>
	Letters on Files
Adjournment Motion	AMA
Privilege	PLM
Petitions	PNA
Matters Under Rule 68	MR 68
Bills	BLA
Election of Speaker	ELS
Election of Deputy Speaker	ELDS
Presidential Election	PE
Presiding Officers Conference	POCA
Visit of Committees from other States	VCSA
Visit of V.I.P's	VIPA
Joint Select Committee (Land Revenue)	JSCLR
Select Committee	SCA
Who's Who of Members of Legislative Assembly	WAM
Handbook for Members of Legislature	HBN

List of Members	. . . . .	LMA
Resume of Business of		
Legislative Assembly	. . . . .	RBA
Business Advisory Committee	. . . . .	BACA
Privileges Committee	. . . . .	PLCA
Subordinate Legislation Committee	. . . . .	SLC

## **LEGISLATIVE COUNCIL**

### **LEGISLATION SECTION**

<b>Subject</b>		<b>Subject Index</b>
		Letters on Files
Adjournment Motion	. . . . .	AMC
Privilege	. . . . .	PLC
Petitions	. . . . .	PNC
Matter under Rule 68	. . . . .	MR 64
Bills	. . . . .	BLC
Election of Chairman	. . . . .	ELC
Election of Deputy Chairman	. . . . .	ELDC
Presiding Officers Conference	. . . . .	POCC
Visit of Committee from other States	. . . . .	VCSC
Visit of V.I.P.'s	. . . . .	VIPC
Select Committee	. . . . .	SCC
Who's Who of Members of		
Legislative Council	. . . . .	WMC
List of Members	. . . . .	LMC
Resume of Business of Legislative		
Council	. . . . .	RBC
Business Advisory Committee	. . . . .	BACC

Privileges Committee	.....	PLCC
Election to Committees of Legislature	.....	ELCC
Committee on Papers Laid	.....	CPL
Elections to Senates of Universities	.....	ELSC
Elections to other Autonomous Bodies	.....	ELBC
Rules of Procedure, Legislative Council	.....	RPC
Petitions Committee	.....	PNCC
L.C.Starred and Unstarred Questions	.....	SQC/USQC
Short Notice Questions, L.C.	.....	SNQC
Calling Attention Notices, L.C.	.....	CANC
Matter Under Rule 310	.....	MR 310
Half-an-hour discussion, L.C.	.....	HHDC
Assurances Committees, L.C.	.....	ACC
Committees on Private Members Bills And Resolutions of L.C.	.....	BRCC
Party Position	.....	PPC
Vacancies Position (Monthly return of Vacancies	.....	VPC
<u>Nominations to :</u>		
a) Telephone Advisory Committee	.....	NTAC
b) Telecommunications Advisory Committee	.....	NTCC
c) Railway Users Committee	.....	NRUC
d) South Central Railway Committee	.....	NSCRC
e) Southern Region Railway Committee	.....	NSRC

## ADMINISTRATION-I SECTION

Subject	Subject Index
	Letters on Files
Matters relating to convening	
of Board and Special Board Meetings . . . . .	BM
creation of Posts . . . . .	CP
Filling up of the posts by direct	
Recruitment . . . . .	FPD
Filling up of the posts by deputation . . . . .	FDP
Departmental Examinations . . . . .	DEX
Filling up of the posts by Promotion . . . . .	FPP
Departmental Enquiries . . . . .	DE
Writ Petitions . . . . .	WP
Confidential Reports . . . . .	CR
Seniority List . . . . .	SL
Assets and Liabilities . . . . .	AL
C & R Rules . . . . .	CRR
Declaration of Probationary Periods . . . . .	DPP
Civil List . . . . .	CIL
Miscellaneous . . . . .	MISC
Sanction of Air Journeys . . . . .	SAJ
Pension Cases . . . . .	PC
Deputation of Legislators to	
Seminars/Conferences , etc., . . . . .	DLS
Revision of Scales of pay . . . . .	RSP

## ADMINISTRATION-II SECTION

Subject	Subject Index
	Letters on Files
Sanction of Leave . . . . .	SL
Sanction of Home Travel	
Concession . . . . .	HTC
Sanction of Leave Travel	
Concession . . . . .	LTC
House Building Advance/House	
Purchase Advance . . . . .	HBA
Festival Advance . . . . .	FA
Fixation of Pay . . . . .	FP
Annual Increment . . . . .	INC
Payment of Honorarium . . . . .	PH
General Provident Fund . . . . .	GPF
Motor Cycle Advance/Motor	
Car Advance . . . . .	MCA
Bicycle Advance . . . . .	BA
Miscellaneous . . . . .	MISC
Filling up of Posts by contract appointments in the Establishment of Parliamentary Functionaries . . . . .	FCA
Training Facilities . . . . .	TRG

## ESTIMATES COMMITTEE

Meeting Notice . . . . .	MN
Report . . . . .	RP
Correspondences . . . . .	CR
Study Tour . . . . .	ST

### SC/ST COMMITTEE

Meeting Notice	. . . . .	MN
Report	. . . . .	RP
Correspondences	. . . . .	CR
Study Tour	. . . . .	ST

### BACKWARD CLASSES COMMITTEE

Meeting Notice	. . . . .	MN
Report	. . . . .	RP
Correspondences	. . . . .	CR
Study Tour	. . . . .	ST

### PUBLIC ACCOUNTS COMMITTEE

Meeting Notice	. . . . .	MN
Report	. . . . .	RP
Correspondences	. . . . .	CR
Study Tour	. . . . .	ST

### LIBRARY

Purchases of Books	. . . . .	PBK
Issue of Books	. . . . .	IBK
Subscription to Periodicals	. . . . .	SPL
Subscription to Newspapers	. . . . .	SNP
Physical Stock Verification	. . . . .	PSV

### RESEARCH

Documentation on Public Undertakings	. . . . .	DPU
Lekhana Soochi	. . . . .	LS
News Journal	. . . . .	NJ

### ACCOUNT-I

Salary to Members (MLA's)	. . . . .	SMA
Salary to Members (MLC's)	. . . . .	SMC

T.A./D.A. to MLA's	. . . . .	TAMA
T.A./D.A. to MLC's	. . . . .	TAMC

FACILITIES TO MEMBERS

Railway Coupons	. . . . .	RC
Bus Pass	. . . . .	BP
Medical Reimbursement	. . . . .	MR
Sanction of Advances for Vehicles	. . . . .	MCA
Printing of Letter Pads	. . . . .	PLP
Allotment of Vehicles	. . . . .	AV
Gas Connections	. . . . .	GC
NSCs to Members	. . . . .	NSC
Installation of Telephones	. . . . .	IT

ACCOUNTS-II

SALARY OF OFFICERS/OFFICIALS :

GROUP – A	. . . . .	SLA
GROUP – B	. . . . .	SLB
GROUP – C	. . . . .	SLC
GROUP – D	. . . . .	SLD

T.A./D.A. TO OFFICERS/OFFICIALS :

GROUP – A	. . . . .	TAA
GROUP – B	. . . . .	TAB
GROUP – C	. . . . .	TAC
GROUP – D	. . . . .	TAD
Medical Reimbursement to Officers/Officials	. . . . .	MRE
Preparation of Budget	. . . . .	BUD

### ACCOUNTS – III

Pension to Ex-MLA's	. . . . .	PMA
Pension to Ex-MLC's	. . . . .	PMC
Pension to Ex-MRA's/MCA's, etc.,	. . . . .	PRA/PCA

### EXECUTIVE

Purchase of Furniture	. . . . .	PFR
Purchase and supply of Stationery	. . . . .	PSS
Allotment of Rooms	. . . . .	ALR
Physical Stock Verification	. . . . .	PSV

### TRANSLATION

No File Work	. . . . .	...
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### EDITING BRANCH

Printing of Debates of LA	. . . . .	PDA
Printing of Debates of LC	. . . . .	PDC
Printing of Index to Debates of LA	. . . . .	PLA
Printing of Index to Debates of LC	. . . . .	PLC

### LEGISLATORS' HOME

Administrative Matters – Index Letters as indicated for Administration I and II as far as applicable :

### OTHERS MATTERS :

Stores	. . . . .	ST
Canteen	. . . . .	CN
Allotment of Rooms	. . . . .	AR
Miscellaneous	. . . . .	MISC

### HOUSE COMMITTEE

Meeting Notice	. . . . .	HCMN
Report	. . . . .	HCRP
Correspondences	. . . . .	HCCR
Study Tours	. . . . .	HCST



RECOVERY OF DUES

Lodging Charges	. . . . .	RDL
Car Hire Charges	. . . . .	RDC
Trunk Call Charges	. . . . .	RDT

## **NO NEW FILE WILL BE OPENED ON RECIPTS OF AN EPHEMERAL NATURE**

A receipts calling for some information of a general nature or furnishing some routine information of a general character need not be added to or dealt with in the existing file on the subject, if any, when the addition of the receipt will not contribute materially to the disposal of the case dealt with on the file as a whole, or is not likely to be required for purposes of reference in the file at a later date. Such receipts will, if necessary, be replied to conveniently with the material available with the section on diary numbers and after such disposal, filed in montly filing folders. Section will maintain separate filing folders for each month, These monthly filing folders will be reviewed after every year and all unwanted paper destroyed.

## **APPENDIX - VI**

### **THE REGISTER OF PERIODICAL RETURNS**

1. The Register is a bounded volume
2. It need not be renewed every year, the entries being new.
3. This is consolidated register for the whole section.
4. Under column 5 file number can be given only after report is received and entered in the File Register.
5. Column 6 should be filled up with the reference to orders prescribing the dates of submission of the report.
6. If a report is received, the fact should be noted in column 7.
7. If a report is overdue, the clerk who keeps the registers should note the fact on a Routine Note form and submit it to the Section Officer for permission to issue a reminder.
8. A reminder may than be sent to the defaulting officer and the fact noted in column 7.
9. The Entries under the columns should be made by respective Junior Assistant under the guidance of Section Officers.
10. But column 1 should contain consecutive numbers for the whole section.

## **APPENDIX – VXII**

### **CHECK LIST FOR SECTION OFFICERS FOR INSPECTION OF SECTION**

1. Is the Section neat and tidy?
2. Do the Officials attend office in time and maintain proper discipline?
3. Is the attendance checked at the prescribed time everyday?
4. Are movements of officials outside to section and admission of visitors to the Section controlled properly?
5. Are home addresses of the Officials kept in the Section?
6. Have all the tappals received in the section been accounted for everyday. Are receipts which should not be diarised, entered in the Diary?
7. Have important receipts noted in his personal note Book or Desk Diary?
8. Has work in section evenly distributed among the Senior Assistants and Assistants allotting definite subject to be dealt by each of them?
9. Are 'Priority' marking made on receipts and files whenever necessary?
10. Are all files opened under appropriate File Headings.
11. Are title in the files and file registers given correctly.
12. Are instructions of the Higher Officers on receipts brought out in the Note Sheet?
13. Are files submitted to the Higher Officers in a proper and complete form?
14. Are all approved drafts issued properly and promptly?
15. Are U.O. files sent directly to the Section concerned?
16. Are all communications correctly marked?
17. Are weekly and monthly arrears list put up regularly and in time?
18. Are Call Book and Section Note Book, etc., scrutinised every month.
19. Are File Registers, Movement Registers, etc., maintained properly.
20. Are standing Guard Files maintained for each of the subjects dealt in Section and Whether they are up-to-date?

21. Are the Assistants 'Diaries and Tables' checked periodically for pending papers and files?

22. Are observations made by Higher Officers in inspection reports of the Section are carried out promptly?

**FORM No. 1**

**DELIVERY BOOK**

List of receipts received and submitted to the office or distributed in the  
\_\_\_\_\_ Section on \_\_\_\_\_

Section to which or Officer to whom receipts are sent	Member of receipts sent	Tota Number of receipts sent	Signature of the receiver
1	2	3	4

**FORM No. 2**

**Register of Letters, Files, etc., received in the \_\_\_\_\_ Section**

<b>Machine Number</b>	<b>Progressive Number</b>	<b>No. &amp; Date of Communication</b>	<b>From whom received</b>	<b>Subject matter in brief</b>	<b>To whom passed</b>	<b>File number</b>	<b>Disposal with date</b>	<b>Remarks</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>

Date \_\_\_\_\_

**FORM No. 3**

FILE REGISTER

Standard Heading \_\_\_\_\_

---

<b>File No.</b>	<b>Subject</b>	<b>Date of Opening/Closing</b>		<b>Classification (and year of destruction)</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>

N.B. For 'C' files only: When a 'C' file is actually weeded out the entry in the column should be scored out and the fact of destruction indicated thus "Destroyed".



**FORM No. 4**

**FILE MOVEMENT REGISTER**

<b>File No.</b>	<b>Subject</b>	<b>To whom Sent</b>	<b>Date</b>	<b>To whom sent</b>	<b>Date</b>	<b>To whom sent</b>	<b>Date</b>	<b>To whom sent</b>	<b>Date</b>

**FORM No. 5**

**Movement Register to be maintained by Personal Assistants of Deputy Secretaries and Higher Officers**

<b>Sl. No.</b>	<b>File or Diary No.</b>	<b>To whom passed</b>	<b>Remarks</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>

**FORM No. 6**  
**WEEKLY ARREARS STATEMENT**

**Name of Section:**

**Week ending:**

<b>Sl. No.</b>	<b>Name of the Assistant</b>	<b>P.F. from previous week</b>	<b>Received during the week</b>	<b>Number of Receipts / Cases</b>					<b>Initials of the Assistant</b>
				<b>Total</b>	<b>Dealt with during the week</b>	<b>Balance on hand</b>	<b>5 days and under</b>	<b>Over 5 days</b>	
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>

Details of over 5 days receipts/cases should be in the appendix to this form (Form No. 7)

Note: Receipts/cases returned to the Assistants of re-examination should also be included

-----  
Signature of the Section Officer

**FORM No. 7**

**APPENDIX TO WEEKLY APPEAR STATEMENT**

**Details of Receipts/Cases in hand for more than five days (Vide column 9 of the weekly Arrear Statement)**

<b>Sl. No.</b>	<b>Dairy/File No.</b>	<b>Date from which pending</b>	<b>Brief Subject</b>	<b>Reason for delay</b>	<b>Remarks of Section Officer/ Branch Officer</b>	<b>Action taken on Remarks of S.O./B.O.</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>

NAME OF THE ASSISTANT

**FORM No. 8**

**MONTHLY STATEMENT OF CASES PENDING DISPOSED FOR OVER A MONTH**

.....Section

File/Dairy No. .... Date of commencement of receipt

Subject. ....

Date	With whom and since when	Reasons for delay	Remarks of Branch or Higher Officers

Here will be entered the last date of month for which the list is prepared

**FORM No. 9**

**MONTHLY ARREAR STATEMENT OF CASES PENDING FOR OVER A MONTH**

**Office of the -----**

<b>Sl. No.</b>	<b>File Number</b>	<b>Date of receipt of file</b>	<b>Subject</b>	<b>Reasons for pendency, if any</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>

**Total**

**Periodwise pendency**

- i) Over one month but below 3 months**
- ii) More than three months**

**FORM No. 10****CALL BOOK**

<b>SL. No.</b>	<b>File Number</b>	<b>Date of Commencement of file</b>	<b>Subject</b>	<b>Reasons why no further action can be taken for over 6</b>	<b>Date on which action is to be</b>	<b>Directions of higher officer at the time</b>	<b>Date of restarting action</b>	<b>Remarks</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>

**FORM No. 11**

**REGISTER OF PERIODICAL RETURNS RECEIPTS**

**Department of ----- Year ----- Section -----**

<b>Sl. No.</b>	<b>Description</b>	<b>Authority from whom due to whom sent</b>	<b>File No. containing authority and procedure</b>	<b>Current file</b>	<b>Month and date due to be sent</b>	<b>Remarks (reminders issued, date finally received, sent)</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>



**FORM No. 12**

**Quarterly Inspection by the Section Officer**

Branch/Section

Date of Inspection

Date of Last Inspection

Name of the Section Officer

Date of posting to Section

Reason for the vacancy, if any

1. Number of Senior Assistants :  
Assistants :  
Junior Assistants :
2. Attendance Register :  
(a) Is it properly maintained :  
(b) Action taken against late :  
attenders, if any in the :  
previous quarter
3. Section Diary  
1) Neat and Tidy :  
2) Are columns utilised properly :  
3) Subjects given briefly and clearly :  
4) File No. given against each entry :  
5) Is date of disposal given against :  
each entry :  
6) Is nature of disposal indicated :  
correctly? (to be test-checked)  
7) Are receipts made over to :  
Assistants on the same day?  
(to be test-checked)

- 8) Is diary tested-checked by the :  
Under Secretary every month?  
(Initials of the Officer in token  
of the chock to be test-checked)
- 9) Are receipts which are not to :  
be diarised being diarised?  
(to be test-checked)
10. No. of receipts received in :  
the Section during each of the  
preceding three calender months
4. Assistant's Diary :
- 1) Are all dealing hands :  
maintaining the Assistant's  
Diary
- 2) In proper form? :
- 3) Neat and Tidy? :
- 4) Are particulars given in all  
columns of the Diary
5. File Register :
- 1) Maintained neatly? :
- 2) Are files opened under :  
appropriate subject symbols?  
(to be test-checked)
- 3) Are files precise and exprossive :  
of subject matte r dealth within  
the file (to be test-checked)
- 4) Are Record Classification and :  
Date of destruction indicated in  
the appropriate columns clearly  
and correctly? (to be test-checked)
- 5) Are date of opening and closing :  
of files given correctly  
(to be test-checked)

- 6) File Movement Register :
- 1) Maintained neatly :
  - 2) Are movements of files marked correctly and in time (to be checked) :
  - 3) Are part files amalated with main files at the earliest opportunity and necessary entries made in the Register (to be test-checked) :
  - 4) Is tracing of files easy to be test-checked and results should be recorded in the following form :

<b>Sl. No.</b>	<b>File No.</b>	<b>To whom marked in file movement Register</b>	<b>Whether actually traced from the place marked</b>	<b>Remark</b>
1.				
2.				
3.				
4.				
5.				

- 7) Weekly Arrears Statement :
- (Go through the last weekly arrears statement)
- 1) Is it maintained in the appropriate form and submitted regularly ? :
  - 2) Are reasons for delay given in the case of over 5 days receipt /cases. :
  - 3) Are directions given by S.O./U.S. for quick disposal of delayed receipts. :
  - 4) Are these directions being followed (to be test-checked) :

- 5) Was the number of receipts cases :  
In hand with any Assistant  
unduly heavy last week-end?
- 6) Any suggestions by Inspecting :  
Officer to Improve the State of  
Affairs?
- 8) Monthly statement of pending cases: :
- 1) Are the Statement brought up-to  
date and submitted regularly?
- 2) Was the last statement submitted :  
in time ?
- 3) Are they submitted to :  
a) Deputy Secretary :  
b) Joint Secretary :  
c) Additional Seceretary :  
d) Secretary :
- 4) Are directions given by Officers :  
for expediting delayed cases and  
whether action is taken thereon?  
(to be test-checked
- 5) Are these statement discussed :  
at the periodical meetings of  
Officers
- 6) What is the position regarding :  
pending cases at the end of the  
proceeding month? Please give  
details below:

	At the time of last inspection	At the time of last Quarterly inspection	Present position
1. No. of cases pending disposal between 1 and 3 months			
2. -do- 3 & 5 months			
3. -do- 6 & 12 months			
4. -do- 1 year & 2 years			
5. -do- over 2 years			
Total:			

- 9) Register of Report/Returns :  
(Go through The Register of Reports and Returns)
  - 1) Maintained neat and Tidy :
  - 2) Is it up-to date :
  - 3) Any instance of Reports/Returns :  
not sent/received in time  
(to be test-checked)
  - 4) That steps are taken to render :  
reports/returns in time
  - 5) Any suggestion to improve state :  
of affairs, if not found satisfactory
- 10) Recording and Indexing (Go through :  
the list of records files in the section)
  - 1) That is the present position :  
regarding and indexing; please  
obtain the following details
    - I) Number of files recorded and :  
indexed during the last 12  
months
    - II) Number of such files sent to :  
Records Section
    - III) Number of closed files pending :  
and indexing final recording
  - 2) Is the Section in arrear in regard :  
to recording the indexing
  - 3) Is the position satisfactory :
  - 4) Are all files indexed before  
stitching where indexing is  
necessary
  - 5) Are index slips kept properly :  
arranged
  - 6) Get three recently recorded files :  
and verify whether

- I) Papers are properly and :  
neatly arranged
- II) Reference are properly given :
- III) Pages are numberd properly :
- IV) Properly and safely stitched :
- V) Unnecessary papers are :  
weeded out
- VI) Pervious and late reference :  
given on the cover
- VII) Classification for record is  
given with due care and in  
keeping with the importance  
of the cases
- VIII) Whether Closure certification :  
is recorded on the cover
- IX) The year of destruction is :  
indicated on the cover clearly
- X) The indexed certificate has :  
been given on the cover
- XI) Are index slips prepared :  
properly

#### 11. Weeding out of unwanted Records/ Papers

- 1) Are the monthly filing :  
Folders weeded out in time  
& destroyed? (to be  
test-checked)
- 2) Does the Section give the  
appearance of being  
corwded with unwanted  
papers? to conduct a  
physical check of the room)
- 3) Are unwanted papers/  
publications/books properly  
weeded out once annually?  
When was the last weeding  
conducted? Is there  
backlog?

- 4) Any suggestion about 'Scattering' or 'dumping' of records/papers/books if any, in the Section?

#### 12. Section Diary/Note Book

- 1) Maintained neat and tidy :
- 2) Maintained in Alphabetical Order :
- 3) Is it up-to date (pages to be turned over to spot. any recent entries. Also think of any important decision recently taken and verify it they are included) :
- 4) Are decisions entered :
  - a) Presicse? :
  - b) Clear? :
  - c) Under appropriate heads to be test checked :
- 5) How does the under Secretary mark decisions for inclusion in the section Note Book? :

#### 13. Guard File

- 1) How many already exist :
- 2) How many are under preparation or yet to be prepared (Attach list of approved type subjects)
- 3) Are they well prepared and maintained (to be test-checked) :

#### 14. Reference books, Rules and Regulations :

- 1) Is the Section furnished with all Rules, Regulations and books required for its proper functioning :
- 2) Are there any deficiencies? If so, State what are they? :

- 3) Is a list of books/publications :  
maintained?
  - 4) Are the Rules, Regulations, etc., :  
manintained duly corrected  
up-to-date. (to be test-checked)
  - 5) Are they maintained centrally in :  
one place by the Section Officer  
or scattered over te tables of each  
Assistant.
15. Call Book :
- 1) Is there a Call Book in the :  
Section?
  - 2) Are there any, cases kept in the :  
Call Book in the right type?
  - 3) Are there any, cases kept in :  
the Call Book which should not  
appropriately be in it?
16. Inspection of Table of Assistants :
- 1) Is it done by the Section Officer? :
  - 2) If so, at what interval? :
  - 3) Any papers/files on tables of :  
Assitants not accounted for in the
    - I) File Register? :
    - II) Last weekly arrears :  
Statement
    - III) Last monthly statement of :  
pending cases
17. Rotation of Work
- 1) Are dealing Assistants rotated to :  
different items of work or  
employed on the same work year  
after year?
  - 2) Any dealing person doing the :  
Same work for more than 3 years?



- 3) If so,
  - a) give reasons :
  - b) Remarks of inspecting Officer :
18. Level Jumping
  - 1) Are there any Assistans submitting their files direct to Under Secretary? If so, is the arrangement working satisfactorily.
  - 2) Can direct submission be extended to other items of work? :
19. Disposal by Conduct of Section Officer :
  - 1) Types of receipts/cases if any, dealt with by S.O. himself :
  - 2) Nature of receipts/cases warranting initial action by S.O. :
  - 3) Other items of work, if any, which can be mor usefully dealt with by S.O. to train and build up initiative and confidence in the Assistant working in the Section? :
  - 4) Classes of cases disposed by S.O. Himself
  - 5) What steps are taken by S.O. to train and build up initiative and confidence in the Assistants working in the Section
  - 6) Any suggestions for further delegation of powers to S.O.
20. Suggestions, if any, for implementation :
21. General Assesment :

DATE:

SIGNATURE OF INSPECTING OFFICER

**FORM No. 13**  
**HALF YEARLY INSPECTION BY THE UNDER SECRETARY**

1. Date of Inspection :
2. Name of the Section :
3. Name of the Section Officer :
4. How many posts are vacant? since  
when are they vacant? (please  
indicate the position categorywise)
5. Whether the Section Officer has  
inspected section, if so, dates of  
quarterly inspections by the Section Officer
6. Have all the defects noticed therein are  
rectified?
7. Whether the following are maintained  
Properly
  - a) Work distribution chart :
  - b) Section Diary :
  - c) Weekly Arrear Statement :
  - d) Call Book :
  - e) Section Note Book :
  - f) Standing Guard File :
8. Are reminders issued periodically :
9. No. of cases reviewed during the  
previous quarter but finally disposed  
of during the subsequent quarter
10. Whether such a review report  
for the previous quarter has been  
submitted to the Deputy Secretary
11. No. of receipts pending in the section  
for more than 5 years
12. Reasons for the pendency and :  
Solutions offered

13. Are unnecessary papers being :  
weeded out periodically and closed  
files sent to the Records
14. Whether C and R Rules are framed? :  
if not, what is the stage
15. Does the Section Officer guide the :  
staff in putting up cases?
16. Does the Section Officer encourage :  
the Assistants in voicing their views  
independently on cases, thereby  
giving an impetus to develop initiative.
17. General observation for improvement :  
of the working of the Section. (covered  
in any of the questions mentioned  
above)

Date

NAME AND DESIGNATION OF THE  
INSPECTING OFFICER

**FORM No. 14**  
**ANNUAL INSPECTION BY THE DEPUTY SECRETARY**

1. Name of the Section :
2. Date of Inspection :
3. Date of Inspection by the  
Under Secretary
4. Whether the defects pointed out by :  
the Under Secretary in his inspection  
report are rectified
5. Are the prescribed registers :  
maintained properly
6. Are D.O. Letters replied promptly :
7. Are the cases reviewed by the :  
Under Secretary
8. No. of cases yet to be reviewed :  
(Sample survey should be made)
9. Is timely action taken to obtain the  
replies in special cases like references  
made for remarks/concurrence of  
Finance Department, Dept. of Law  
and Parliamentary Affairs and other  
Departments
10. That is the percentage of disposal of :  
cases for the last 3 months. Reasons  
for the low percentage, if any,
11. What is the number of receipts :  
pending in the Section for more  
than 5 days
12. The reason for the pendency and :  
solution offered
13. Whether C and R Rules are framed.  
If not, what is the stage? :
14. Whether the staff meeting are held  
regularly to sort out the  
departmental problems :

15. General observations for :  
improvement of the working of the  
Section. (Not covered in any of the  
questions mentioned above).

Date:

NAME AND DESIGNATION OF  
INSPECTING OFFICER

**STATEMENT SHOWING ACTION TAKEN ON THE LAST  
ANNUAL INSPECTION REPORT:**

<b>Defects pointed out or suggestions made in the previous report</b>	<b>Action already taken or proposed</b>
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
6.	6.
7.	7.
8.	8.
9.	9.
10.	10.

SIGNATURE OF THE SECTION OFFICER

Date:

----- Section